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HAMILTON PUBLIC LIBRARY

MUNICIPAL FREEDOM OF INFORMATION AND PROTECTION OF PRIVACY ACT

DIRECTORY OF GENERAL RECORDS AND PERSONAL INFORMATION BANKS

MARCH 20, 1991

PLEASE NOTE

PATRONS WHO WISH TO SEE A COPY OF THIS DIRECTORY OR WHO WISH TO SUBMIT A FREEDOM OF INFORMATION REQUEST FORM ARE TO BE DIRECTED TO STAFF AT THE FIRST FLOOR QUIC INFORMATION DESK.

DON KILPATRICK

HAMILTON PUBLIC LIBRARY

MUNICIPAL FREEDOM OF INFORMATION AND PROTECTION OF PRIVACY ACT

DIRECTORY OF GENERAL RECORDS AND PERSONAL INFORMATION BANKS

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FORWARD

Ontario's Freedom of Information and Protection of Privacy Act (hereafter known as the Act) gives individuals a legal right of access to information held by Municipalities and local Boards. There are execptions to this right but they are limited to the specific provisions of the Act. The Act also gives individuals a right of access to their own personnel information and establishes standards to ensure that this information is protected.

This Directory of records is issued to assist individuals in locating general records and personal information maintained by the Hamilton Public Library. The Directory describes the organization, mandate, general records, manuals and personal information maintained by the Library.

For further information about the Act contact:

Management Board Secretariat
Freedom Of Information and Privacy Branch
18th Floor, 56 Wellesley Street West
Toronto, Ontario
M7A 1Z6

Telephone: (416) 586-2187

INTRODUCTION:

General Records:

The Freedom of Information and Protection of Privacy Act gives the public a right of access to records held by Municipalities, their Agencies and Boards. Individuals may request any record of information held in any form including a letter, report, computer tape, microfilm, videotape or sound recording.

Certain information may be witheld under one of the specific exemptions in the Act. These exemptions include:

- personal information that would invade the privacy of an individual
- certain records supplied in confidence by a third party
- draft bylaws
- in-camera Board minutes

Generally, a record must be disclosed to a requester unless it falls within one of the exemptions.

Personal Information:

Municipalities, their Agencies and Boards collect personal information from and about individuals in the course of their operations. This information covers a wide range of subjects and is used to administer programmes and activities.

The Act gives individuals the right of access to their personal information subject to certain specific exceptions. At the same time, the Act safeguards an individual's privacy by protecting this information from unauthorised disclosure to others. Individuals who are given access to their personal information also have the right to request correction of that information if they believe it to be inaccurate.

How to use the Directory

This Directory is arranged with a section at the beginning detailing the Head of the Hamilton Public Library, the Library's mandate and organization followed by a section arranged alphabeticaly listing the Divisions of the Hamilton Public Library. The list of Divisions includes the following information:

- title
- a description of the Division's function
- a description of the records used to support each Division's programmes and an alphabetical listing of the general classes or types of records maintained
- a description ofthe personal information banks used to support each Division's programmes and an alphabetical listing of the personal information banks maintained.

Manuals:

Institutions are required by the Act to make certain manuals available to the public in a reading room or other designated office. This requirement applies to manuals, directives and guidelines that contain information about programmes or enactments that are used to make decisions that affect the public. The following manuals fall within this guideline:

Administration Manual:

Issued to all service points. Outlines procedures for the day to day operations relating to staff and service with sub-headings for Business, Committees, Communications, Emergency, Personnel, Public Relations, Public Service and Security.

DOBIS Manual:

Issued to all service points. Outlines procedures for the day to day operation of the DOBIS system with sub-headings for Changes, Contents, Introduction, Searching, Borrower Registration, Circulation and Cataloguing.

Policy and Procedure Manual:

Issued to all service points. Outlines the Library Board's policies and procedures relating to the operation of the system with sub-headings for Circulation of Material, Complaints, Delinquent Borrowers, Donations, Guidelines, ILLO, Membership, Other Services, Photographic Services, Policies and Reserves.

Official copies of these manuals may be found in the Administrative Offices - Head of Public Service.

General Records:

General Administration Records:

Defined as records containing information about general administration and operational support functions such as personnel, finance, purchasing, audit and property management.

Common administrative records include:

- Administrative support records including statistics, agendas and minutes of meetings, general inquiries, administrative procedures, library services, records management, data systems development and management, building and accomodation services, mail and messenger service.

- Draft legislation, briefing notes and general correspondence

- Communications records including speeches, news releases, promotional publications, audio visual and film packages, advertising plans and records, public opinion polls, annual reports, issues and background summaries.

- Financial records including financial systems and comptrollership, estimates, budgets, invoices, purchase orders, expenditure statements, allowances and expenses, asset management anmd inventory management.

- Human resource management records including human resources allocation, organization charts, job specifications, pension benefits and insurance.

- Legal records including statutes and regulations, research and opinions, correspondence, contracts and agreements

- Planning and management records including strategic and operational plans, work programmes, accountability reports, audit and efficiency reports, consulting reports, policies, directives and guidelines.

Personal Information Banks (PIB):

Files of personal information that are collected in such a way that they are organized and can be retrieved by an individual's name or some other personal identifier. To avoid repetition, the common personal information banks are described here and only the titles are referenced in individual Divisions. Each PIB contains the following elements - Title, Location, Legal Authority, Information Maintained, Uses, Users, Individuals in Bank and Retention and Disposal. The following personal information banks are found in most branches and departments.

Title: Casual Help - Applications:
Location: Branches, Central Library
Legal Authority: Public Libraries Act, 1984

Information Maintained: Name, address, telephone number, age, previous work experience, interests, references
Uses: Interviewing and hiring of casual help
Users: Branch/Department Heads, Supervisors
Individuals in Bank: Applicants for casual employment
Retention and Disposal: In accordance with By-Law XI

Title: Casual Help - Records
Location: Branches, Central Library Departments
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, evaluations
Uses: For maintaining a record of work performance
Users: Branch/Department Heads
Individuals in Bank: Casual help employed by the library
Retention and Disposal: In accordance with By-Law XI

Title: Casual Help Schedules
Location: All Branches and Departments
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, hours scheduled to work
Uses: For documenting hours worked
Users: Branch/Department Heads, Supervisors
Individuals in Bank: Casual help employed by the Library
Retention and Disposal: In accordance with By-Law XI

Title: Personnel Files
Location: Branches and Departments
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, absence reports, leave requests, personal health appointments
Uses: To document staff absences
Users: Branch/Department Heads, employees
Individuals in Bank: Staff
Retention and Disposal: In accordance with By-Law XI

Title: Programming-Evaluation
Location: Branches, Central Library, Public Relations Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name of performer, evaluation of programme
Uses: To determine suitability and success of programmes
Users: Programming staff
Individuals in Bank: People providing programming for the Library
Retention and Disposal: In Accordance with By-Law XI

Title: Programming - Registration
Location: Branches, Central Library
Legal Authority Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, age (if required)
Uses: To document registrants for library programmes
Users: Programming staff
Individuals in Bank: Registrants for Library programmes
Retention and Disposal: In accordance with By-Law XI

Title: Programming and Community Contacts
Location: Branches, Central Library
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, organization name, telephone number
Uses: For contacting local community participants in planning library programming
Users: Programming staff
Individuals in Bank: Local businesses or individuals participating in library programming
Retention and Disposal: In accordance with By-Law XI

Title: Schedules - Staff
Location: All Branches and Departments
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, hours of work
Uses: To document hours worked and location
Users: Branch/ Department Heads, staff
Individuals in Bank: Staff
Retention and Disposal: In accordance with By-Law XI

HOW TO MAKE A REQUEST

In many cases it is not necessary to apply under the Act to obtain access to library records. Requests for information can generally be made by calling, writing or visiting the appropriate library office.

A request under the Act can be made in two ways: A "Request for Access to Record" or "Request for Access to Personal Information" form can be completed or a letter can be written specifying that it is a request covered by the Act. Individuals who have access to their personal records and wish to request correction should complete a "Request for Correction of Personal Information " form. Examples of these forms are are included at the end of this section.

The completed form should be forwarded to the Head of the Institution for the purposes of the Act.

Normally a request must be processed within 30 calendar days. This means that the Library must either provide access to the requested material or notify the requester that the personal information is exempt under specific provisions of the Act. If the Library requires a time extension for any reason the requester must be notified.

Requesters should provide as much information as possible. Individuals who need assistance in locating records, personal information or making a request should contact the Freedom of Information and Privacy Coordinator at the Library.

ASCCESS BY DISABLED PERSONS:

For Print Handicapped Persons:

Print handicapped persons should contact the Library's Freedom of Information and Privacy Coordinator by telephone to discuss alternate means of making a request if they are unable to complete a request form or write a letter.

For Hearing Impaired Persons:

A telecommunication device (TTY) is available at the Library at (416) 529-3137. Individuals may also use the Bell Relay Service to place calls. Information on this service can be found in public telephone directories.

For Wheelchair Users:

The Central Library and most branches are completely accessible. In general, when making a request, visiting the library or examining personal information, a disabled person may be accompanied by a proxy or have a proxy act for him/her. If a proxy acts alone, proof of consent by the disabled person to be represented is required.

How to Appeal a Decision:

An individual may appeal any decision by the Library including refusal to grant access, refusal to make a correction to personal information and extension of the 30 day deadline. Appeals should be directed to:

Information and Privacy Commission
17th Floor, 80 Bloor Street West
Toronto, Ontario
M5S 2V1

Telephone: (416) 326-3333
Toll Free: 1-800-387-0073
Fax: (416) 965-2983

Freedom of Information and Protection of Privacy

Request for:

- ☐ Access to General Records
- ☐ Access to Own Personal Information
- ☐ Correction of Own Personal Information

Name of institution request made to:

If request is for access to, or correction of, own personal information records:

Last name appearing on records: ☐ same as below or ➤

Details

Last Name	First Name	Middle Name	☐ Mr. ☐ Mrs. ☐ Ms. ☐ Miss

Address (Street/Apt. No./P.O. Box No./R.R. No.) | City or Town | Province

Postal Code	Telephone Number(s)	Area Code	Area Code
	Day ➤		Evening ➤

Detailed description of requested records, personal information records or personal information to be corrected. (If you are requesting access to, or correction of, your personal information, please identify the personal information bank or record containing the personal information, if known)

Sample

Note: If you are requesting a correction of personal information, please indicate the desired correction and, if appropriate, attach any supporting documentation. You will be notified if the correction is not made and you may require that a statement of disagreement be attached to your personal information.

Preferred method of access to records	Signature	Date
☐ Examine Original ☐ Receive Copy		Day Month Year

For Institution Use Only

Date received	Request Number	Comments
Day Month Year		

Personal information contained on this form is collected pursuant to Freedom of Information and Protection of Privacy legislation and will be used for the purpose of responding to your request. Questions about this collection should be directed to the Freedom of Information and Privacy Coordinator at the institution where the request is made.

7540-1539

HAMILTON PUBLIC LIBRARY

Request Number

Tracking and Recording (Municipal)
Freedom of Information and Protection of Privacy

Please refer to Guidelines for detailed instructions.

Category A: Request Description

1 Request Type (Check one only)

1a ☐ General Record 1b ☐ Personal Information 1c ☐ Correction to Personal Information

2a ☐ Name of Requester:

2b ☐ Authorized Representative of:

3. Source of Request

3a ☐ Media 3b ☐ Researcher 3c ☐ Business 3d ☐ Association 3e ☐ Individual 3f ☐ Unknown 3g ☐ Other

4. Subject matter of request

Category B: Dates/Days

1. Date initial request received	2. Response due date	3. Date complete request received	4. Adjusted due date
5. Days extended: Reasons ☐ Volume ☐ Consult ☐ Both	6. Extended due date	7. Extension notification date	8. Adjusted due date (fee est.)
9. Date notified of decision	10. Date records released/file closed	11. No. of days to complete request	
12. Transferred in from Date: ☐ Whole ☐ Part	13. Forwarded to Date: ☐ Whole ☐ Part		

Category C: Internal Tracking

1. Internally forwarded to

2. Date to be returned by

Category D: Third Party Notification

1. ☐ S.10 ☐ S.14

2. Name	3. Notified of interest Date ▶	4. Response due	5. Access decision due	6. Notified of decision	7. Final appeal date

Category E: Response to Request

1 ☐ All disclosed
2 ☐ Disclosed in part
2a ☐ Partly exempted
2b ☐ Partly non-existent
3 ☐ Nothing disclosed (totally exempt)
4 ☐ Refuse to confirm/deny
5 ☐ No record exists
6 ☐ Request abandoned
7 ☐ Withdrawn
8 ☐ Correction made 8a ☐ Whole 8b ☐ Part
9 ☐ Correction refused
10 ☐ Statement of disagreement filed
11 ☐ Correction request withdrawn/abandoned
12 ☐ Notice of correction

Category F: Exemptions

Exemptions invoked.

☐ S.6 ☐ S.8 ☐ S.10 ☐ S.12 ☐ S.14 ☐ S.38 b-e
☐ S.7 ☐ S.9 ☐ S.11 ☐ S.13 ☐ S.15 ☐ S.53

Category G: Access

1. Method of access
1a ☐ Examination
1b ☐ Copy
1c ☐ Both

2. Records accessed

Category H: Deposit and Fee Information

	Date	Amount $
1. Notified of estimate		
2. Deposit requested		
3. Estimate acceptance/ deposit received		
4. Fee waived 4a. In whole		
4b. In part		
5. Refund		
6. Fee requested		
7. Fee received		

Category I: Estimated and Actual Fee

1. Activity	2. Estimated Fee	3. Actual Fee
1a Search (in excess of 2 hours)		
1b Reproduction		
1c Preparation of record		
1d Shipping		
1e Computer (programmer's time)		
1f Other:		
4. Total Fee ▶		
5. Less deposit received		
6. Less amount waived		
7. Balance refunded or owing ▶		

Category J: Appeals

1. Type of appeal:

Whole	Part		Whole	Part	
☐	☐	S.8(3), S.14(5) Refuse to confirm/deny	☐	☐	S.36(2) Correction refused
☐	☐	S.17(1) Access to general records refused	☐	☐	S.37(1) Access to personal information refused
☐	☐	S.20(2) Time extension	☐	☐	S.37(3) Access method-personal information
☐	☐	S.21(2) Third party information to be released	☐	☐	S.45(5) Fee/Fee estimate
☐	☐	S.23 Access method-general records	☐	☐	Other:

2. Result
☐ Mediated
☐ Allowed
☐ Partially allowed
☐ Denied

3. Date notified of appeal

4. Date notified of: 4a ☐ Order 4b ☐ Settlement

Category K: Personal Information Banks

Total Number of Personal Information Banks accessed

Category L: Comments

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Note: Please attach additional pages where more space is required.

Research Agreement

Freedom of Information and Protection of Privacy

This agreement is made between

Name of Researcher (hereinafter referred to as the researcher)	Name of Institution (hereinafter referred to as the institution)
and	
The researcher has requested access to the following records containing personal information in the custody or control of the institution:	

The researcher understands and promises to abide by the following terms and conditions:

1. The researcher will not use the information in the records for any purpose other than the following research purpose unless the researcher has the institution's written authorization to do so: (Describe research purpose below)

Sample

2. The researcher will give access to personal information in a form in which the individual to whom it relates can be identified only to the following persons: (Name persons below)

3. Before disclosing personal information to persons mentioned above, the researcher will enter into an agreement with those persons to ensure that they will not disclose it to any other person.

4. The researcher will keep the information in a physically secure location to which access is given only to the researcher and the persons mentioned above.

5. The researcher will destroy all individual identifiers in the information by _____ (Date)

6. The researcher will not contact any individual to whom personal information relates, directly or indirectly, without the prior written authority of the institution.

7. The researcher will ensure that no personal information will be used or disclosed in a form in which the individual to whom it relates can be identified without the written authority of the institution.

8. The researcher will notify the institution in writing immediately upon becoming aware that any of the conditions set out in this agreement have been breached.

Signed at , this day of 19

Signature of Researcher		Signature of Official	
Name of Researcher		Name and Position of Official	
Address		Name of Institution	
		Address	
	Telephone No.		Telephone No.

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Head of the Institution for the Purposes of the Act:

Planning, Personnel and Public Relations Committee
Hamilton Public Library
P.O. Box 2700
Station A
Hamilton, Ontario
L8N 4E4

Telephone: 416 - 529-8111

Note:

Tha Planning, Personnel and Public Relations Committee has delegated authority to administer the Act to the Head of Public Service who may be reached at the above address or by phone at 416 - 529-8111, extension 224. ALL REQUESTS FOR ACCESS TO INFORMATION SHOULD BE ADDRESSED TO THE HEAD OF PUBLIC SERVICE AT THE ABOVE ADDRESS.

THe Hamilton Public Library's Mission Statement:

"The Hamilton Public Library serves citizens as individuals and as members of groups by responding to their needs for information, education, culture, recreation and leisure.

The Hamilton Public Library acquires and organizes material in many different formats, promotes their uses, provides skilled assistance in using these materials nd makes them readily available to all sections of the community. Such availability includes: ease of access, both physical and intellectual without discrimination because of age, language, educational level or disability and without monetary charge."

Goals:

The following goals have been adopted by the Library Board:

Goal 1:

"To be a vital force in fulfilling the library needs of a large industrial community of many ethnic backgrounds and varying social and economic standards."

Goal 2:

"To promote library service directed to the special needs of different sectors of the community."

Goal 3:

" To offer an easily accessible and responsive service to all community residents by providing collections of print and non-print materials and complementary programmes to meet most informational, educational and leisure needs."

Goal 4:

" To create a working environment utilizing modern technology and well equipped facilities in which skilled staff deliver and evaluate service and monitor the internal structure of the system."

Goal 5:

"To act as a resource centre for the Region, actively participating in various networks for information exchange and resource sharing."

Organization:

The Hamilton Public Library serves a population of 307,690 people. As well, the Central Library acts as a major resource library for the Regional Municipality of Hamilton-Wentworth Region which has a population of 434,000.

The Library is organised into three divisions: Administration, Public Service and Technical Support Services. The Administration and Technical Support Service Divisions are located at the Central Library as is a large subject-divided resourse collection. The nine branches and two bookmobiles are responsible for providing service which responds directly to the needs of their immediate neighborhoods.

An organizational chart and the names and addresses of all service points can be found at the end of this directory.

Divisions:

Administration - Business Office

Responsible for the administration of the financial affairs of the Library: ensuring the most effective use of funds in the acquisition of goods and services; ensuring effective property management including the purchase, sale, lease, security and maintenance of real property.

General Records Files:

Contain information on the financial operation of the library system.

Accounting Cash Files
Branch Libraries
Contracts
Financial Files
Furniture and Equipment (warranties)
Government Grants
Invoices
Leases
Operational Files
Purchase Orders
Reference Files

Personal Data Banks:

None

Administration - Chief Executive Officer

Is responsible for organizing, coordinating and administering the programmes and operations of the library system in accordance with Library Board policy.

General Record Files

Administration Correspondence
Departmental Administrative Correspondence
Government - Municipal, Provincial, Federal
Library - Central/Branches Correspondence
Outside Associations/Organizations
Surveys-Studies-Reports-Contracts
Task Forces - Committees

Personal Information Banks

None

Library Board and Committees

The Hamilton Public Library Board is duly constituted as a corporation under the Public Libraries Act of Ontario, 1984, with the responsibility for the management and control of the Hamilton Public Library System.

General Record Files:

Board Correspondence
Board Meeting records
Board/Committee Meeting Records
Board/Committee Meeting Records - in camera reports

Personal Information Banks

None

Administration - Personnel Department

The major responsibilities of the Personnel Department include all functions related to labour relations and legal issues in consultation with legal counsel: wage/salary and benefit administration for all staff; the development and administration of personnel policies and procedures and recruitment and staffing. The department also plays an active role in providing input on job analysis and evaluation and has some involvement in training and development.

Administration - Personnel Department:

General Records:

Bi-weekly Payroll Registers
Collective Agreements (master copies)
Collective Bargaining Records
Employee Statistics
General Correspondence
General Salary Information
Health and Safety Records
Job Descriptions
Labour Management Minutes and Agendas
Operating Budget Records (working copies)
Organization Charts
Pay Equity Information
Personnel, Payroll and Benefit Records
Personnel Policies and Procedures
Union Correspondence
Work in Progress

PERSONAL INFORMATION BANKS - PERSONNEL DEPARTMENT

Title: Applications for Employment
Location: Personnel Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, S.I.N. telephone number, letters of application, resumes, reference letters, educational background, work history, skills.
Uses: To identify potential candidates for employment.
Users: Personnel Department staff; Senior/Middle Management staff.
Individuals in Bank: Applicants for positions within the Hamilton Public Library System.
Retention & Disposal: In accordance with By-Law Xl.

Title: Attendance Recording System
Location: Personnel Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, employee number, attendance history, vacation/sick/S.T.D.entitlements and bank balances.
Uses: To document and maintain attendance records and administer payment. To provide statistical information on attendance.
Users: Personnel Department staff, Senior/Middle Management staff, select information is available to lawyers re. an employee's personal litigation request.
Individuals in Bank: Hamilton Public Library employees.
Retention & Disposal: In accordance with By-Law Xl.

Title Employee Files
Location: Personnel Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, S.I.N., telephone number, resume, reference letters, educational background, employment history, birth date, income tax deduction information, dependant and benefit coverage information, payroll and benefit transactions and deductions, salary, employment date, seniority date, performance appraisals.
Uses: To administer payroll and benefit packages and document employee history.
Users: Personnel Department staff, Senior/Middle Management staff, select information available to Municipal Auditors.
Individuals in Bank: Hamilton Public Library employees.
Retention & Disposal: In accordance with By-Law Xl.

Title Employee Training and Development Records
Location: Personnel Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, employee number, training courses taken, date and completion results.
Uses: To record employee training and development and to compile statistics on training activity.
Users: Personnel Department staff. Senior Management staff.
Individuals in Bank: Hamilton Public Library employees eligible for training programmes.
Retention & Disposal: In accordance with By-Law X1.

Title Grievance Files
Location: Personnel Department
Legal Authority: Labour Relations Act, R.S.O. 1980, c.228 as amended.
Information Maintained: Name, department, job title, grievance report, correspondence pertaining to grievance, supporting documentation, resolution for disposition of grievance.
Uses: To document the grievance process.
Users: Chief Executive Officer, Personnel Manager, Library Board, Labour Relations Lawyer. Select information given to Arbitrator/Union Grievance Committee.
Individuals in Bank: Hamilton Public Library employees submitting formal grievances.
Retention & Disposal: In accordance with By-Law X1.

Title Job Competition Files
Location: Personnel Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, application, resume, letters of reference, employment and seniority date (current employees), job posting, advertisement, job description, list of applicants and appropriate letters.
Uses: To document the recruitment process.
Users: Personnel Department staff. Senior/Middle Management staff.
Individuals in Bank: Applicants for positions within the Hamilton Public Library System (internal and external applicants).
Retention & Disposal: In accordance with By-Law X1.

Title: Job Evaluation Records
Location: Personnel Department
Legal Authority: The Pay Equity Act, R.S.O.1987, c.34
Information Maintained: Name, employee number, job title, salary, job questionnaires, factor analysis of position.
Uses: To develop fair and equitable ratings in determining salary levels for positions.
Users: Personnel Department staff. Joint Job Evaluation Committee members.
Individuals in Bank: Employees holding positions covered under the Pay Equity Act.
Retention & Disposal: In accordance with By-Law X1.

Title: Long Term Disability Records
Location: Personnel Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, employee number, employment date, attendance record, claims application form and relevant documentation, medical update reports, claims status reports, administrative notes/correspondence.
Uses: To monitor and administer Long Term Disability benefits.
Users: Personnel Department staff, external intervention service providers.
Individuals in Bank: Hamilton Public Library employees applying for Long Term Disability benefits.
Retention & Disposal: In accordance with By-Law XI.

Title: WCB Claim Files
Location: Personnel Department
Legal Authority: Workers' Compensation Act, R.S.O., 1980, C. 539 as amended.
Information Maintained: Name, address, employee number, telephone number, date of birth, sex, marital status, S.I.N., employment date, salary/earnings information, job title, claim information, history of injury/accident, record of past injuries, statements from witnesses and medical practitioners.
Uses: To document and report each Workers' Compensation Board claim.
Users: Personnel Department staff, Senior/Middle Management staff, Workers' Compensation Board, Health and Safety Committee.
Individuals in Bank: Hamilton Public Library employees who submit an accident/unusual occurence report.
Retention & Disposal: In accordance with By-Law XI.

Administration - Public Relations Department:

The main function of the Public Relations Department is to promote the purpose and the work of the Library and to enhance the image of the Library as a whole. The department functions are divided into three areas: Programming, Design and Printing and Photographic Services. The department develops and maintains good community relations with community groups, other institutions and organizations, while simultaneously complementing the library's services and activities.

General Records:
Administrative Files
Annual Report
Book Sale
Centennial
Community Contacts
Correspondence
Fundraising
Furniture and Equipment (warranties)
Gift Shoppe
History
History - Hamilton Public Library
Inventory
Master Art Boards
Procedure Manual
Programming
Publicity - Publications
Publicity - Releases
Publicity - Special Events
Staff Meeting Minutes
Suppliers
Surveys
Task Forces/Committees
Tours
Volunteer Programme
Work in Progress

Personal Information Banks:

Title: Library Board Biographies:
Location: Public Relations Dept.
Legal Authority: Public Libraries Act, 1984,
Information Maintained: Name, Address, biographical information
Uses: Promotion and publicity
Users: Public Relations staff
Individuals in the Bank: Members of the Hamilton Public Library Board
Retention and Disposal: In accordance with By-Law XI

Title: Mailng/Media Lists
Location: Public Relations Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, affiliation
Uses: To sent out press releases and other information
Users: Public Relations Staff
Individuals in Bank: Media and other persons requiring copies of library publicity releases
Retention and Disposal: In accordance with By-Law XI

Title: Photographs
Location: Public Relations Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Photographic documentation of people and events relating to the Library
Uses: To document people amd events relating to the Library
Users: Staff
Individuals in Bank: Staff, patrons, visitors, etc.
Retention and Disposal: In accordance with By-Law XI

Title: Reprographics - Photographic Invoices:
Location: Public Relations Department
Legal Authority: Public Libraries Act, 1984,
Information Maintained: Name, telephone number, fee owed.
Uses: Financial record of purchase,
Users: Staff, Public Relations,
Individuals in the Bank: Patrons requesting Phographic Services,
Retention and Disposal: In accordance with By-Law XI

Title: Reprographics - Photographic Orders:
Location: Public Relations Department:
Legal Authority: Public Libraries Act, 1984,
Information Maintained: Name, address, telephone number, date,photoographic service requested
Uses: To document photographic work orders,
Users: Photographer, Public Relations staff,
Individuals in Bank: Patrons requesting Photographic Services,
Retention and Disposal: In accordance with By-Law XI

Title: Volunteers:
Location: Public Relations Department,
Legal Authority: Public Libraries Act, 1984,
Information Maintained: Name, address, telephone number,
Uses: Documents library volunteers,
Users: Staff, Public Relations,
Individuals in Bank: Library volunteers,
Retention and Disposal: In accordance with By-Law XI

Administration - Public Service:

The Public Service Division's objective is to provide library materials and information. In order to achieve this objective, its prime responsibilities are (i) the circulation of library materials, (ii) responding to information queries, (iii) developing and maintaining print and non-print materials and (iv) the provision of programmes and tours. In addition to these service priorities, staff are involved in developing and modifying policies and procedures as required to more effectively serve clientelle amd streamiline internal operations. Administrative staff are responsible for the administration of all activities related to Public Service.

General Records:

Administrative Files - Districts
Administrative Files - Head of Public Service
Administrative Files - Personnel
Administrative Files - Policy
Community Contacts, Suppliers and Consultants
Correspondence
Grant Applications
Guidelines
Manuals
Task Forces/Committees - Reports and Minutes
Work-In-Progress

Personal Information Banks:

Title: Freedom of Information Requests
Location: Head of Publc Service's Office
Legal Authority: Freedom of Information and Protection of Privacy Act, 1990
Information Maintained: Name, address, telephone number, nature of request, access granted or denied, cost to process
Uses: To comply with governmment reporting structure and to track requests made under the Act
Users: Members of the Library's Freedom Of Information Committee, Provincial government officials
Individuals in Bank: Citizens submitting a formal request
Retention and Disposal: In accordance with the Act.

Title: Service Comment Forms:
Location: Office of the Head of Public Service,
Legal Authority: Public Libraries Act. 1984,
Information Maintained: Name, address, telephone number, date, nature of comment/concern, resolution
Uses: To document patron comments and concerns about service and or subject material
Users: Public Service Management staff,
Individuals in Bank: Patrons submitting a formal service comment,
Retention and Disposal: In accordance with By-Law XI

Title: Patrons Banned From the Library:
Location: Office of the Head of Public Service,
Legal Authority: Public Libraries Act, 1984,
Information Maintained: Name, address, telephone number, correspondence regarding the reasons for the ban
Uses: To document dealings with banned patrons,
Users: Administrative staff,
Individuals in bank: Patrons who have been banned from Library premises,
Retention and Disposal: In accordance with By-Law XI

Administration - Technical Support Services:

Technical Support Services is divided into three departments: Acquisitions, Automated Cataloguing and Processing and Overdues. Its mandate is to acquire library materials, create and maintain the bibliographic data base, process material for public use and retrieve overdue items from patrons. The Library Automated Systems and Planning Departments also report to the Head of Technical Support Systems. The mandate of the Library Automated Systems Department is to participate in developing policies and strategies for automation and to ensure the smooth impelementation and operation of systems such as DOBIS and those micrcomputers acquired as part of the Office Automation Project. the Planning Department is responsible for the developemnt and delivery of planning and performance measures for the library system.

General Records:

Administrative Files - Head of Technical Support Services
Administrative Files - Library Automated Systems
Administrative Files - Planning
Barcodes (Library Automated Systems)
CALUPL (Planning)
Computerization (Planning)
Computerization - Contracts (Planning)
Correspondence
DOBIS- Administrative Files (Library Automated Systems)
Microcomputers - Administrative Files (Library Automated Systems)
Performance Measures (Planning)
Prime Resort - Administrative Files (Planning)
Statisitics - (Planning)
Strategic Planning (Planning)
Surveys (Planning)
Systems Management Group (Library Automated Systems)
Task Forces - Committees
Technical Services - Re-organization files
Technical Services Department Head Minutes
Work-in-Progress

Personal Information Data Banks

None

Public Service - Branches, Central Library Departments,Bookmobiles

Responsible for the day-to-day activities of public access to library collections and related service. See also Administration - Public Service role statement.

General Files:

Administrative Files
Annual Reports
Banking Records
Binding Records (Special Collections)
Citizen's Advisory Committee - Minutes and Documentation
Collections - Development and Evaluation
Collections - Policies
Correspondence
Furniture and Equipment - warranties
History
Inventory
Microfilming Records (Special Collections)
Monthly Statisitical Reports
On Order Files
Page Meeting Minutes
Petty Cash - Ledger
Procedure Manuals
Programming
Staff Meeting Minutes
Supplies
Task Forces /Committees
Tours
Work-in-Progress

Personal Information Banks:

The following Information Banks as described in the Introduction to this Directory are maintained:

Casual Help - Applications
Casual Help - Records
Casual Help - Schedules
Personnel Files
Programme - Registration
Programming - Evaluation
Programming and Community Contacts
Staff - Schedules

Title: Accession Book
Location: Special Collections Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, dates, residence, occupation of creator of manuscript material, donor's name, date of donation
Uses: To document receipt of manuscript material, its content, scope and provenance
Users: Archivist, individuals in bank, creators of manuscript, material donated and donors of same.
Retention and Disposal: In accordance with By-Law XI

Note: Private manuscripts held in Special Collections are excluded from the Act. Access to these records is determined by each donor.

Title: Artist's Biographies
Location: Central 5th floor information desk
Legal Authority: Public Libraries Act, 1984
Information Maintained: Names, addresses, biographies, correspondence, publicity
Uses: Art exhibits in the Fine Arts Department
Users: Fine Arts staff, individuals in the bank, artists
Retention and Disposal: In accordance with By-Law XI

Title: Awards Committee
Location: Central 5th Floor - Performing Arts/Recreation Librarian's Desk
Legal Authority: Public Libraries Act, 1984
Information Maintained: Names, personal information
Uses: To determine nominations for the Applause Award
Users: Performing Arts/Recreation Librarian, individuals in bank, members of the Selection Committee
Individuals in Bank: Staff nominees
Retention and Disposal: In accordance with By-Law XI

Title: Billings - Damaged Material
Location: Central Circulation and Branches
Legal Authority: Public Libraries Act, 1984
Information Maintained: Date, name, borrower's number, address, item number, title, replacement cost, processing cost, total amount owing
Uses: Patron information
Users: Circulation staff
Individuals in Bank: Patrons owing on damaged material
Retention and Disposal: In accordance with By-Law XI

Title: Bookmobile - Accident Reports
Location: Central Library - Extension Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Details of accidents
Uses: To document accidents
Users: Staff
Individuals in Bank: Persons involved in accidents
Retention and Disposal: In accordance with By-Law XI

Title: Bookmobile Personal Accident Reports
Location: Central Library - Extension Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Details of accident
Uses: To document accidents
Users: Staff
Individuals in Bank: Persons involved in accidents
Retention and Disposal: In accordance with By-Law XI

Title: Cancellation Binder
Location: Central Library - Extension Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name and telephone number of regular patrons
Uses: To notify patrons when a Bookmobile stop is cancelled
Users: Staff
Retention and Disposal: In accordance with By-Law XI

Title: Cassette Player and Magnifier Loan
Location: Central Library - Resource Centre for Disabled Persons
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, borrower number, model and series number of equipment borrowed, date borrowed, date due, date returned, staff initials
Uses: Loan record to locate equipment and recall when due
Users: Staff
Individuals in Bank: Borrowers of equipment
Retention and Disposal: In accordance with By-Law XI

Title: Christmas Card List
Location: Various Branches and Departments
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address
Uses: To send Christmas greetings to patrons
Users: Staff
Individuals in Bank: Patrons
Retention and Disposal: In accordance with By-Law XI

Title: Citizen's Advisory Committee Membership Lists
Location: Sherwood, Terryberry, Locke, Picton and Concession Branches
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone number
Uses: For notification of meetings or to send information
Users: Staff
Individuals in Bank: Individuals who have agreed to join the Committee
Retention and Disposal: In accordance with By-Law XI

Title: Claims returned/Never Borrowed
Location: Central Circulation Department, Branches
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, borrower's number, telephone number, book barcode numbers, classification of material
Uses: To monitor the number of CR's and CNB's for individual patrons
Users: Staff
Individuals in Bank: People submitting CR's and CNB's
Retention and Disposal: In accordance with By-Law XI

Title: Complaints
Location: At affected service point
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone of complainant, summary of action taken, staff signature
Uses: To monitor and follow-up on service or material complaints
Users: Managers/Administrative staff
Individuals in Bank: Persons submitting complaints
Retention and Disposal: In accordance with By-Law XI

Title: Destination Forms
Location: Those service points where they are used
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, destination, departure time, expected return time, date
Uses: To document staff absences from a location
Users: Staff
Individuals in Bank: Staff
Retention and Disposal: In accordance with By-Law XI

Title: Donations - Special Collections
Location: Central Library - Special Collections Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Date, donor's name and address, total value of donation, donor's signature
Uses: To document donations for the purpose of issuing income tax receipts
Users: Archivist and staff
Individuals in Bank: Donors of material
Retention and Disposal: In accordance with By-Law XI

Title: Emergency Incident Reports:
Location: At locations as appropriate
Legal Authority: Public Libraries Act, 1984
Information maintained: Location, names, date, telephone number, time , nature of incident, resolution
Uses: To document emergency incidents
Users: Staff
Individuals in Bank: Staff, patrons, witnesses
Retention and Disposal: In accordance with By-Law XI

Title: Film Bookings
Location: Central Library - Audio Visual Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, borrower number, address, telephone, films requested, date borrowed, date due
Uses: To document film requests
Users: Staff
Individuals in Bank: Patrons requesting films
Retention and Disposal: In accordance with By-Law XI

Title: ILLO/Film/Talking Book Records
Location: Interlibrary Loan, Audio Visual and Resources Centre for Disabled Persons Departments
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, date, material requested
Uses: To monitor loaned material
Users: Staff
Individuals in Bank: Patrons requesting material
Retention and Disposal: In accordance with By-Law XI

Title: Invoices
Location: Central Library - Interlibrary Loan Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone, amount owed, date
Uses: Monitor monies owing
Users: Staff
Individuals in Bank: Patrons or institutionms owing monies
Retention and Disposal: In accordance with By-Law XI

Title: Kept Tills
Location: Central Circulation, Branches, Bookmobiles
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, name of item not picked up, date held till, date kept till
Uses: Patron information about material held one week and not picked up
Users: Staff
Individuals in Bank: Patrons who reserved but did not pick up material
Retention and Disposal: In accordance with By-Law XI

Title: Literacy - Student Files
Location: Central Library - Literacy Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, birthdate, contact person, educational background, employment background, activities, schedules, tutor evaluation
Uses: To document participation by students in the Literacy Programme
Users: Litercy Dept. staff, tutors, Library and Ministry of Education officials
Individuals in Bank: Adult students registered in the programme
Retention and Disposal: In accordance with By-Law XI

Title: Literacy - Tutor Files - Inactive/Active/Unmatched
Location: Central Library - Literacy Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, age range, education, employment, experience, references
Uses: To document participation by tutors in the Literacy programme
Users: Literacy staff, Library and Ministry of Education officials
Individuals is Bank: Tutors
Retention and Disposal: In accordance with By-Law XI

Title Literacy - Tutors who do not meet mandate
Location: Central Library - Literacy Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone, age range, education, employment, experiences, references
Uses: To document non-participants in the Literacy Programme
Users: Literacy Dept. Staff, Library and Ministry of Education Officials
Individuals in Bank: Tutors
Retention and Disposal: In accordance with By-Law XI

Title: Literacy - Students who do not meet mandate
Location: Central Library - Literacy Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone, bithdate, contact person, educational background, employment background, activities, schedules, evaluation, reason for non-eligibility
Uses: To document non-participation in the programme
Users: Literacy staff, Library and Ministry of Education officials
Individuals in Bank: Non-eligible adult students
Retention and Disposal: In accordance with By-Law XI

Title Literacy - Supervisor's Appointments
Location: Central Library - Literacy Department
Legal Authority Public Libraries Act, 1984
Information Maintained: Literacy Supervisor's name, student name, tutor name, time and date of meetings
Uses: To document daily schedule
Users: Literacy staff
Individuals in Bank: Adult students, tutors
Retention and Disposal: In accordance with By-Law XI

Title Literacy - Registers
Location: Central Library - Literacy Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Student identification, number, schedule
Uses: Dcouments time spent in Literacy programme by students, tutors and staff
Users: Literacy staff, Library and Ministry of Education officials
Individuals in Bank: Adult students
Retention and Disposal: In accordance with by-Law XI

Title Literacy Dept - Audit File
Location: Central Library - Literacy Deaprtment
Legal Authority: Public Libraries Act, 1984
Information Maintained: Copy of the student application form, student identification number, tutor, evaluation, schedule
Uses: Documentation for funding
Users: Lieracy staff, Libary and Ministry of Education officials
Individuals in Bank: Adult students and tutors
Retention and Disposal: In accordance with By-Law XI

Title Literacy Department - Mailing List
Location: Central Library - Literacy Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, affiliation
Uses: For mailing information on Literacy programmes to interested individuals
Users: Literacy staff, Adult Basic Education staff
Individuals in Bank: Adult students, tutors, individuals interested in Literacy
Retention and Disposal: In accordance with By-Law XI

Title: Literacy Department - Volunteer Awards
Location: Central Library - Literacy Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, experience in programme
Uses: Recognition of volunteer service
Users: Literacy staff, Public Relations staff
Individuals in Bank: Tutors
Retention and Disposal: In accordance with By-Law XI

Title Local Writers A-Z
Location: Central Library - 4th Floor
Legal Authority: Public Libraries Act, 1984
Information Maintained: Names, addresses, telephone number, age, background, professional activities and interests
Uses: As a record and for programming
Users: Librarian I, Part-time and information staff
Individuals in Bank: Writers
Retention and Disposal: In accordance with By-Law XI

Title Lost and Found
Location: Central Library, QUIC Information Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, item date founmd, date notified
Uses: To document lost items and contact owners
Users: QUIC staff
Individuals in Bank: Individuals who have lost items in the library
Retention and Disposal: In accordance with By-Law XI

Title Lost Library Cards
Location: Central Circulation, Branches and Bookmobile
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, telephone number, date
Uses: To hold library cards until collected by patrons
Users: Circulation staff
Individuals in Bank: Patrons who have lost a library card
Retention and Disposal: In accordnce with By-Law XI

Title Mail Returns
Legal Authority: Public Libraries Act, 1984
Location: Central Circulation, Branches and Bookmobiles
Information Maintained: Name, address
Uses: To document letters returned due to incorrect address
Users: Circulation staff
Individuals in Bank: Patrons
Retention and Disposal: In accordance with By-Law XI

Title Meeting Room Bookings
Location: Public Relations, Aministration, Westdale, Kenilworth, Barton, Sherwood, Terryberry,
Legal Authority, Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, organization name, date of booking
Uses: To document meeting room bookings
Users: Staff
Individuals in Bank: Patrons requesting meeting room bookings
Retention and Disposal: In accordance with By-Law XI

Title: On-Line Searching
Location: Central Library - CE2/3 Subject Department Head's Office
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, name of employer if applicable, subject of on-line query
Uses: Records and tracks on-line searches
Users: Staff, Department Head
Individuals in Bank: Users of the service
Retention and Disposal: In accordance with By-Law XI

Title: Out of Department File:
Location: Specials Collections Department
Legal Authority, Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, reason material requested, date taken, date returned, material borrowed, signature of borrower
Uses: To document loans from the Department
Users: Staff
Individuals in bank: Borrowers of materials from the Department
Retention and Disposal: In accordance with By-Law XI

Title: Overdue Notices Sent
Location: Interlibrary Loan Dept.
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, telephone number, title of material sent, library sent to, date returned,
Uses: To monitor patrons with overdue material
Users: Interlibrary loan staff
Individuals in Bank: Patrons with overdue material
Retention and Disposal: In accordance with By-Law XI

Title: Patron Ledgers
Location: Interlibrary Loan Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Date sent, name, telephone number, title of material sent, library sent to, date returned
Uses: To monitor material loaned/on loan
Users: Interlibrary Loan staff
Individuals in Bank: Patrons requesting loaned material
Retention and Disposal: In accordance with By-Law XI

Title: Patron Requests - Current/In Process/Unfilled
Location: Interlibrary Loan Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, date material requested
Uses: To monitor patron requests
Users: Interlibrary Loan Staff
Individuals in Bank: Patrons requesting material
Retention and Disposal: In accordance with By-Law XI

Title: Printout Requests:
Location: Central Library Central Circulation Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, borrower's number, cost
Uses: Record of what a patron currently has on their DOBIS file
Users: Circulation and Overdues staff
Individuals in Bank: Patrons generating a request for a printout
Retention and Disposal: In accordance with By-Law XI

Title: Public Access Computer - Administration Files:
Location: Those branches which conduct computer literacy programmes
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, DOBIS number, acceptance in programme, refusal or suspension from programme
Uses: To document access or non-access to the computer literacy programme
Users: Staff
Individuals in Bank: Partons registered in computer literacy programmes
Retention and Disposal: In accordance with By-Law XI

Title: QUIC Information Request Forms:
Location: QUIC Information Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, telephone number, information requested
Uses: To document telephone inquiries
Users: QUIC staff
Individuals in Bank: Patrons requesting information
Retention and Disposal: In accordance with By-Law XI

Title: Recalls:
Location: Central Circulation Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Date contacted, response, nae, telephone number, borrower's number, title of book, barcode number, name, date
Uses: To maintain and keep statistics for problems and for overdue material
Users: Circulation Clerk 4
Individuals in Bank: Patrons with overdue materials
Retention and Disposal: In accordance with By-Law XI

Title: Regional Reference Requests
Location: Central Library - Interlibrary Loan Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, telephone number, library name, information required
Uses: To process and monitor patron requests
Users: Interlibrary Loan staff
Individuals in Bank: Patrons requesting information
Retention and Disposal: In accordance with By-Law XI

Title: Researcher Records:
Location: Special Collections Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, information required, response, amount owed, date received, date answered, payment received
Uses: To document inquiries by mail and receipt of payment
Users: Special Collections staff
Individuals in Bank: Patrons requesting information
Retention and Disposal: In accordance with By-Law XI

Title: Researcher Registration:
Location: Special Collections Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, material requested
Uses: To document material requested and returned
Users: Special Collections staff
Individuals in Bank: Patrons requesting material
Retention and Disposal: In accordance with By-Law XI

Title: Researcher Registration - Archives
Location: Special Collections Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, date, signature, identification number, expiry date,
Uses: To register a patron to use Archive and Manuscript collections
Users: Special Collections staff
Individuals in Bank: Patrons using Archival and Manuscript Collections
Retention and Disposal: In accordance with By-Law XI

NOTE: Private manuscripts held in Special Collections are excluded from the Act. Access to these records is determined by the donor.

Title: Reserves/Express Reserves
Location: Central Circulation/Branches/Bookmobiles
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, borrower's number, address, telephone number, author's name, book title
Uses: To facilitate book reserve requests
Users: Staff
Individuals in Bank: Patrons requesting reserved material
Retention and Disposal: In accordance with By-Law XI

Title: School Contacts:
Location: Branches, Central, Bookmobiles
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name of school, address, telephone number, teacher/librarian's name,principal's name, teacher's name
Uses: To contact the school and person responsible for arranging class visits. To determine the number of classes involved for scheduling purposes
Users: Staff
Individuals in Bank: School teachers, school librarians and administrators
Retention and Disposal: In accordance with By-Law XI

Title: Suspended Borrowers
Location: Circulation
Legal Authority: Public Libraries Act, 1984
Information Maintained: Date, name; borrower's number, overdue fines, adult or child
Uses: Documents overdue materials and revenues billed and maintained
Users: Circulation and Overdues staff
Individuals in Bank: Patrons owing on overdue material
Retention and Disposal: In accordance with By-Law XI

Title: Talking Books
Location: Resource Centre for Disabled Persons
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, certification of eligibility to use talking books
Uses: Registration of patrons for talking books
Users: RCDP staff
Individuals in Bank: Patrons registered to use talking books
Retention and Disposal: In accordance with By-Law XI

Title: Training - Reserve Part-Time Staff
Location: Central Circulation Department
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, training schedule, training checklists, comments re training programme and work performance
Uses: To evaluate and monitor trainees during probationary period
Users: Department Heads and Personnel
Individuals in Bank: Reserve Part-Time staff in training
Retention and Disposal: In accordance with By-Law XI

Title: Unanswered Questiuons
Location: Most information points
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, telephone number, information requested,
Uses: To document questions unanswered due to insufficient documentation or incorrect patron information
Users: Information staff
Individuals in Bank: Patrons requesting information
Retention and Disposal: In accordance with By-Law XI

Title: Visiting Library Service
Loication: Resource Centre for Disabled Persons
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, address, telephone number, eligibility for visiting service certified by professional Health Care Workers
Uses: Registration of patrons for Visiting Library Services
Users: VLS staff
Individuals in Bank: Patrons using VLS service
Retention and Disposal: In accordance with By-Law XI

Title: Writers-in-Libraries
Location: Central 4/5 Subject Department Head's Office
Legal Authority: Public Libraries Act, 1984
Information Maintained: Names, addresses of previous HPL writer's-in-libraries incumbents and evaluations of the programme, names, addresses, telephone numbers of potential candidates for the programme
Uses: To document the Writer's-in- Libraries programme
Users: Subject Department Head and Coordinators
Individuals in Bank: Past and potential Writers-in-Libraries candidates
Retention and Disposal: In accordance with By-Law XI

Technical Support Services

Responsible for the day-to-day operation of cataloguing materials and making the collections accessible to the public. See also the role statement under Technical Suypport Services - Administration

General Records:

Accounting Records
Activities (local)
Administrative Files
Annual Reports
Automated Acquisitions Systems
Bindery
Budget (departmental)Cataloguing
CD-ROM
Classification
Correspondence
DOBIS Database Maintenance Committee
Forms
Furniture and Equipment (warranties)
Goals and Objectives
Inventory
Library Materials Budget
Microcomputers
Performance Measures
Procedure Manuals
Purchase Orders
Reports
Staff Meeting Minutes
Staff Organization
Statistics
Suppliers
UTLAS
Work-in-Progress
Workshops

Personal Information Banks:

The following personal information banks as described in the introduction to this directory are maintained:

Casual Help - Records
Casual Help - Schedules
Personnel Files
Schedules - Staff

Title: Emergency Contacts:
Location: Processing and Overdues Departments (both sections) - Department Head's Office
Legal Authority: Public Libraries Act, 1984
Information Maintained: Name, telephone number
Uses: To provide emergency contact if staff fail to report to work as scheduled or if staff need to be contacted regarding an urgent matter while on vacation
Users: Head of Processing and Overdues, LT I Final Processing, LT I Overdues
Individuals in Bank: Staff
Retention and Disposal: In accordance with By-Law XI

Title: Patron Registration/DOBIS Files
Location: Overdues Section - Processing and Overdues Department
Information Maintained: Name, address, telephone number, date of birth, driver's liscence number, social insurance number, credit card number, current borrowing record, delinquent borrower's records, health card number, library card number, mail returns, change of name, change of address
Uses: Ensure proper identification of patron to avoid unauthorized use of an individual's record; to determine if materials currently on loan have been returned and to identify and locate delinquent borrowers
Users: Overdues Section staff, circulation staff
Individuals in Bank: Members of the Hamilton Public Library
Retention and Disposal: In accordance with By-Law XI

APPENDIX 1

Approved by Library Board Dec 17/90

Attachment #2.1.1

2.1.1 Notice of Motion: Hamilton Public Library Board Bylaw XI - Records Retention Policy and Schedule

DATE: December 14, 1990

MEMO TO: Peter Rogers, Chairperson, Hamilton Public Library Board
Board Members
Judith McAnanama, Chief Executive Officer

FROM: Don Kilpatrick, Head of Public Service

SUBJECT: BY-LAW PERTAINING TO A RECORDS RETENTION POLICY AND SCHEDULE

At the November 19, 1990 Board Meeting, a Notice of Motion was presented with respect to incorporating By-law XI - Records Retention Policy and Schedule into the Library Board By-laws.

Copies of the proposed by-laws were distributed at that Board meeting with discussion to take place at the December 17th Board Meeting.

Subsequent to the distribution of the proposed by-law, the Archives report was received from Caroline Werle of Records and Information Management Inc. In her report, Ms. Werle made recommendations respecting some file groups which should be designated archival or potentially archival.

In addition, an opinion has been received from the Library's lawyer, Mr. F. Wigle, in which he recommends revised retention policies for three (3) specific file groups (contracts, leases and Bookmobile Accident Reports).

These changes have been incorporated into the revised retention policy. Two (2) other changes are:
(i) The separation of the Board and Chief Executive Officer files (pg. #2), and,
(ii) the addition of a number of personal data banks for the Literacy Department (pages 11 and 12).

I have attached the revised detail (Schedule A) as well as the appropriate motion to amend the Board By-laws.

Don Kilpatrick,
Head of Public Service.

DK/em
Attmt.

MOVED BY: _____

SECONDED BY: _____

THAT THE HAMILTON PUBLIC LIBRARY BOARD'S BY-LAWS

BE AMENDED TO INCORPORATE

BY-LAW XI

RECORDS RETENTION POLICY AND SCHEDULE

1. Records are defined as documentary materials regardless of physical format which are created or received in connection with the transaction of Hamilton Public Library business and/or contain certain information on the organization, functions, procedures, policies or activities of the Library;

2. Records are the property of the Hamilton Public Library.

3. The retention periods for the records of the Hamilton Public Library as outlined in Schedule A, attached hereto, and forming part of this by-law, are hereby adopted and established as the retention periods for such records.

4. The Library has the authority to destroy all of the records provided that they have been retained until the retention period, as outlined in Schedule A of this by-law, has expired.

SCHEDULE A - REVISED

FREEDOM OF INFORMATION/PRIVACY ACT RELATED RETENTION POLICY

FOR: Administration - Business Office

It is assumed that all items are generated or created by the location.

TITLE OF DOCUMENT/FILE	RETENTION PERIOD	DISPOSITION
Accounting Cash Files	7	D
Branch Libraries	10	D
Contracts	Life of Contract or Extension	D
Financial Files	7	A
Furniture & Equipment (Warranties)	7	D
Government Grants	7	Archives
Invoices	7	D
Leases	Life of Lease or Renewal	D
Operational Files	2	D
Purchase Orders	7	D
Reference Files	5	D

FREEDOM OF INFORMATION/PRIVACY ACT RELATED RETENTION POLICY

FOR: Administration - Chief Executive Officer

It is assumed that all items are generated or created by the location.

TITLE OF DOCUMENT/FILE	RETENTION PERIOD	DISPOSITION
Administration Correspondence	8 (Selective Retention)	A
Departmental Administrative Correspondence	8 (Selective Retention)	A
Government-Municipal,Provincial,Federal	8	Archives
Library Central/Branches Correspondence	8 (Selective Retention)	Archives
Outside Associations/Organizations	8	Archives
Surveys-Studies-Reports-Contracts	8	Archives
Task Forces - Committees	8	Archives

FOR: Administration - Library Board and Committees

It is assumed that all items are generated or created by the location.

TITLE OF DOCUMENT/FILE	RETENTION PERIOD	DISPOSITION
Board Correspondence	8 (Selective Retention)	A
Board Meeting Records	8	A
Board Committee Meeting Records	8	A
Board & Committee Meeting Records In-Camera Reports	P	--

FREEDOM OF INFORMATION/PRIVACY ACT RELATED RETENTION POLICY

FOR: Personnel Office

It is assumed that all items are generated or created by the location.

TITLE OF DOCUMENT/FILE	RETENTION PERIOD	DISPOSITION
Applications for Employment (Hired)	P	--
Application for Employment (Not Hired)	6 months	D
Attendance Recording System:		
Computer Records	2 Years	A
Paper Records	10 Years (selective retention)	A
Bi-weekly Payroll Registers	10 Years	D
Collective Agreements (Master Copies)	P	--
Collective Bargaining Records	P	--
Employee Files	P	--
Employee Statistics	P	--
Employee Training & Development Records	P	--
General Correspondence	7 Years (selective retention)	D
General Salary Information	P	--
Grievance Files	P	--
Health & Safety Records	P	--
Job Competition Files	6 months (selective retention)	D
Job Descriptions	P	--
Job Evaluation Records	P	--

Labour Management Minutes & Agendas	P	--
Long Term Disability Records	P	--
Operating Budget Records (working copies)	2 years (Selective Retention)	A
Organization Charts	P	--
Pay Equity Information	P	--
Personnel, Payroll & Benefit Records	P	--
Personnel Policies & Procedures	P	--
Union Correspondence	P	--
WCB Claim Files	P	--
Work In Progress	until completed	D

FREEDOM OF INFORMATION/PRIVACY ACT RELATED RETENTION POLICY

FOR: Administration - Public Relations

It is assumed that all items are generated or created by the location.

TITLE OF DOCUMENT/FILE	RETENTION PERIOD	DISPOSITION
Administrative Files	2	D
Annual Report	10	Archives
Book Sale	2 (Selective Retention)	D
*Casual Help - Applications	1	D
Casual Help - Records	2 after termination	D
Casual Help - Schedules	2	D
Centennial	2 (Selective Retention)	A
Community Contacts	Until superseded	D
Correspondence	2 (Selective Retention)	D
Fundraising	2 (Selective Retention)	A
Furniture & Equipment (Warranties)	until expired	D
Gift Shoppe	3 (Selective Retention)	A
History	5	A
History - Hamilton Public Library	5	A
Inventory	until superseded	D
Library Board Biographies	until superseded	Archives
Mailing/Media Lists	until superseded	D
Master Art Boards	until superseded	A
Personnel Files	1	D

Photographs	3 (Selective Retention)	A
Procedure Manual	P	--
Programming	2	D
Publicity - Publications	1	A
Publicity - Releases	1	A
Publicity - Special events	2 (Selective Retention)	A
*Reprographic- Photographic Invoices	1 or until paid	D
*Reprographic- Photographic Orders	1	D
Staff Meeting Minutes	2	D
Suppliers	until superseded	D
Surveys	2	A
Task Forces - Committees	5	Archives
Tours	1	A
*Volunteers List	until superseded	D
Volunteer Programme	5	A
Work-in-Progress	until completed	D

FREEDOM OF INFORMATION/PRIVACY ACT RELATED RETENTION POLICY

FOR: Administration - Public Service

It is assumed that all items are generated or created by the location.

TITLE OF DOCUMENT/FILE	RETENTION PERIOD	DISPOSITION
Administrative Files-Coordinators	2	D
Administrative Files- Head of Public Service	2	D
Administrative Files- Personnel	2	D
Community Contacts, Suppliers & Consultants	until superseded	D
*Complaints	2 (selective retention)	D
*Correspondence	2 (selective retention)	D
Grant Applications	10	D
Guidelines	P	--
Manuals	P	--
*Patrons Banned from Library	Until Ban Lifted	D
Task Forces - Committees (Minutes)	5	Archives
Work-in-Progress	until completed	D

FREEDOM OF INFORMATION/PRIVACY ACT RELATED RETENTION POLICY

FOR: Administration - Technical Support Services

It is assumed that all items are generated or created by the location.

TITLE OF DOCUMENT/FILE	RETENTION PERIOD	DISPOSITION
Administrative files- Head/Technical Support Services	2 (Selective Retention)	A
Administrative files- Library Automated Systems	2 (Selective Retention)	A
Administrative files - Planning	2	A
Barcodes (Library Automated Systems)	5	D
CALUPL (Planning)	P	--
Computerization (Planning)	5	D
Computerization- Contracts (Planning)	Life of Contract (Selective retention)	D
Correspondence	2 (selective retention)	A
DOBIS - Administrative Files (Library Automated Systems)	5	D
Microcomputers - Administration Files (Library Automated Systems)	5	D
Performance Measures (Planning)	P	D
Prime Resort - Administration Files (Planning)	2	D
Statistics (Planning)	10	A
Strategic Planning (Planning)	10	A
Surveys (Planning)	10	A

Systems Management Group (Library Automated Systems)	5	Archives
Task Forces - Committees	8	Archives
Technical Services Reorganization Files	5 (Selective Retention)	A
Technical Services Department Head Minutes	5	Archives
Work-in-Progress	until completed	D

FREEDOM OF INFORMATION/PRIVACY ACT RELATED RETENTION POLICY

FOR: Public Service

It is assumed that all items are generated or created by the location.

TITLE OF DOCUMENT/FILE	RETENTION PERIOD	DISPOSITION
*Accession Book (Special Collections)	P	--
Administrative Files	2	D
Annual Reports	10	Archives
Art Schools in Canada	until superseded	D
Artist's Biographies	5	D
Awards Committee (Fine Arts)	1	D
Banking Records (Branches Only)	7	D
*Billings-Damaged Materials	1	D
Binding Records (Special Collections)	5	D
*Bookmobile-Accident Reports (Bookmobile)	2.5	D
*Bookmobile - Personal Accident Reports (Bookmobile)	2.5	D
Cancellation Binder (Bookmobile)	until superseded	D
Cassette Player & Magnifier Loan Record	1 after returned	D
*Casual Help - Application	6 months	D
Casual Help - Records	2 after termination	D
Casual Help - Schedules	2	D
*Christmas Card List	until superseded	D

*Citizen's Advisory Committee -Members	until superseded	Archives
Citizen's Advisory Committee -Minutes & Documentation	2	Archives
*Claims Returned/Never Borrowed	2	D
Collections-Development & Evaluation	5	D
Collections-Policies	until superseded	A
*Complaints	2 (selective Retention)	D
*Correspondence	2 (Selective Retention)	D
*Destination Forms	until completed	D
*Donations	3	D
*Donations-Special Collections	P	--
*Emergency Incident Reports	2 (selective retention)	D
*Express Reserves (Circulation)	until cancelled	D
*Film Bookings	until returned	D
Furniture & Equipment (Warranties)	until expired	D
History	5	Archives
*ILL/Film/Talking Book Request Forms	copy kept until item returned	D
Inventory	until superseded	D
Invoices (ILL))	until paid	D
*Kept Tills	3 months	D
*Literacy		
-Student Files	3 years + current	D
*-Tutor Files -Inactive	1 year	D

-Active	While in Programme	D
-Unmatched	6 months	D
*-Tutors who do not meet mandate	5 years	D
*-Students who do not meet mandate	5 years	D
-Literacy Supervisors' Appointments	current year	D
-Registers	3 years + current	D
-Audit File	3 or (until next audit)	D
*-Mailing List	until superseded	D
-Volunteer Awards	5 years	A
Local Writers A-Z (Fiction/Language/Literature)	P	--
*Lost and Found (QUIC)	until contacted/picked up returned.	D
*Lost Library Cards	1 or until patron pick up	D
*Mail Returns (Circulation)	1	D
*Meeting Room Bookings	1	D
Microfilming Records (Special Collections)	5	D
Monthly Statistical Reports	2	D
On Order	until received	D
*Out of Department File (Special Collections)	1	D
Outreach	2	D
*Overdue Notices Sent (ILLO)	until received or invoiced	D
Page Meeting Minutes	2	D
*Patron Ledgers (ILL))	5	D

*Patron Requests - Current (ILLO)	until item returned	D
*Patron Requests-In Process (ILLO)	until completed	D
*Patron Requests-Unfilled (ILLO)	2	D
*Personnel Files	1	D
Petty Cash - Ledger	7	D
Photography Exhibition	P	--
*Printout Requests (Circulation)	1 month	D
Procedure Manuals	until superseded	D
Programming	2	D
Programming-Evaluation	5	D
*Programming - Registration	until completed	D
Programming & Community Contacts	until superseded	D
*Public Access Computer Administrative Files	5	D
*QUIC Information Request forms	until completed	D
*Recalls (Circulation)	1	D
*Regional Reference Requests (ILLO)	1	D
*Researcher Records (Special Collections)	P	--
*Researcher Registration (Special Collections)	1 month	D
*Researcher Registration - Archives (Special Collections)	2	D
*Reserves	until picked up or 10 Days	D
Schedules (Staff)	2	D
School Contacts	until superseded	D

Staff Meeting Minutes	2	D
Supplies	current year	D
*Suspended Borrowers (Circulation)	1 or when payment is made	D
*Talking Books (CED)	1 after patron discontinues service	D
Task Forces-Committees	8	Archives
Tours	until completed	D
Training - Reserve Part-Time Staff (Circulation	until probationary period complete	D
*Tutoring Programme (Literacy)	4	D
*Unanswered Questions	2 or until answered	D
*Visiting Library Service (VLS)	1 after patron discontinues service	D
Work-In-Progress	until completed	D
Writer-in-Library (Fiction/Language/Literature)	P	Archives

FREEDOM OF INFORMATION/PRIVACY ACT RELATED RETENTION POLICY

FOR: Technical Services

It is assumed that all items are generated or created by the location.

TITLE OF DOCUMENT/FILE	RETENTION PERIOD	DISPOSITION
Accounting Records	7	D
Activities (Local)	3 (selective retention)	D
Administrative Files	2	D
Annual Reports	10	Archives
Automated Acquisitions Systems	until superseded	D
Bindery	7	D
Budget (Departmental)	3	D
*Casual Help - Records	2 after termination	D
*Casual Help - Schedules	2	D
Cataloguing	until superseded	D
CD-ROM	until superseded	D
Classification	until superseded	D
Complaints	2 (selective retention)	D
Correspondence	2 (selective retention)	D
DOBIS Database Maintenance Ctte.	2	Archives
Emergency Contacts	until superseded	D
Forms	until superseded	D
Furniture & Equipment (Warranties)	5	D
Goals & Objectives	3	Archives

Inventory	1	D
Library Materials Budget	5 (selective retention)	D
Microcomputers	until superseded	D
*Patron Registration/ DOBIS files	P	--
Performance Measures	5 (selective retention)	D
*Personnel Files	1	D
Procedure Manuals	until superseded	D
Purchase Orders	2	D
Reports	until project completed	Archives
Schedules (staff)	until superseded	D
Staff meeting minutes	2	D
Staff organization	until superseded	D
Statistics	5	D
Suppliers	until superseded	D
UTLAS Bills (copy-original to Business Office)	5	D
Work-in-progress	until completed	D
Workshops	1	D

DEFINITIONS FOR [Location of files]

Administration = separated into six categories of records as follows:

Administration	-	Business Office
Administration	-	Library Board
Administration	-	Chief Executive Officer
Administration	-	Personnel
Administration	-	Public Relations
Administration	-	Public Service (includes Head of Public Service, all Coordinators, Support Staff)
Administration	-	Technical Support Services (includes Head of Technical Support Services, Library Automated Systems, Planning)

Public Service = all public service points (branches, departments, etc.)
There are some unique items in various branches/departments. These are not specified when a location is noted beside the Title of Document/File. (i.e., Accession Book (Special Collections) means that this record is found only in the Special Collections Department.) All other files may occur system wide. All files do not occur in all locations.

Technical Services = Processing and Overdues, Acquisitions, Automated Cataloguing.

DEFINITIONS		TITLE OF DOCUMENT/FILE
Administrative File	=	notes kept by staff concerning personal schedules, activities, etc.
Awards Committee	=	nominations and files for Hamilton Public Library "Applause Award".
Casual Help-Records	=	evaluation, interview sheets, terminations, etc.
Emergency Incident Reports	=	copies. Originals are sent to various departments in Administration for processing.
Furniture & Equipment (except Business Office)	=	Warranties, etc.
History	=	Branch or department profile, photographs, documentation, etc.
Outreach	=	reports of visits by staff, etc.
Programming	=	may include adult's and children's programmes, display case exhibits, summer reading club, book clubs, volunteers, outside sources, etc. In addition, there are separate listings for Programming - Evaluation Programming - Registration and Programming and Community Contacts which have differing retention periods.
Researcher Records	=	Research inquiries by mail - initial query, staff response, follow-up, etc.
Researcher Registration	=	Request slips for use of Reference material.
Researcher Registration - Archives	=	Registration for use of Archival and Manuscript Collections.
School Contacts	=	Teachers, Teacher-librarians, Nursery School, Day Care, etc.
Talking Books	=	includes registration and reader has read files. Reserves and ILLO requests are dealt with the same way as the regular public service files.
Unanswered Questions	=	file of unanswered patron questions in case the answer is subsequently found.
Visiting Library Service	=	includes applications, reader profiles, reader has read files, booklists, delivery route lists. Reserves and overdues are dealt with the same way as the regular public service files.
Work-in-Progress	=	staff notes on specific projects.

DEFINITIONS		RETENTION PERIOD
P	=	Permanent retention. At some point may be transferred to Archives if Service Point chooses, otherwise file remains at the service point permanently. It is never disposed of at all.
Specific Date	=	i.e., 10 [10 years]. The file is kept a minimum of that time specified. Cases may arise in which the retention period indicated will not be sufficient for individual circumstances. In such cases, the record could be retained for an additional length of time sufficient to satisfy operating needs.
Current Year	=	current fiscal year.
Until cancelled	=	as specified.
Until completed	=	as specified.
Until contacted/picked up/returned	=	as specified.
Until expired	=	as specified.
Until item returned	=	as specified.
Until paid	=	as specified.
Until picked up	=	as specified.
Until probationary period ends	=	as specified
Until received	=	as specified.
Until superseded	=	until an updated file is received to replace it.
Selective Retention	=	when the retention period is completed, certain ongoing files or files of particular and continuing interest are kept at the discretion of the file creator and/or archivist. They are either retained at the service point or transferred to Archives,.

DEFINITIONS DISPOSITION

: = no disposition necessary as file is defined as permanent at creation (see Definitions - Retention period "P")

D = Discard. For any personal information bank this requires either shredding or discarding in some secure manner that guarantees the protection of the personal information contained within the record.

Archives = after the completion of the retention period the file is transferred wither totally or only those sections deemed archival by the creator and/or archivist, with proper file identification and transfer form, to the Hamilton Public Library Archives, housed in the Special Collections Department.

PERSONAL INFORMATION BANKS

Personal Information Banks are those sources of personal information required by the library to perform specific functions and collected under the authority of the Public Library Act or of a Board by-law. The information is usually collected in a set format (usually a form) and kept together to be accessed by staff in the performance of the duty associated with it.

i.e., Complaint forms, Destination forms, Donation forms, Emergency Report forms, Film Booking forms, ILLO forms, Personnel forms, Photographic Order forms, Programming - Registration forms, Registration for library card, Research Registration forms, Reserve forms, etc.

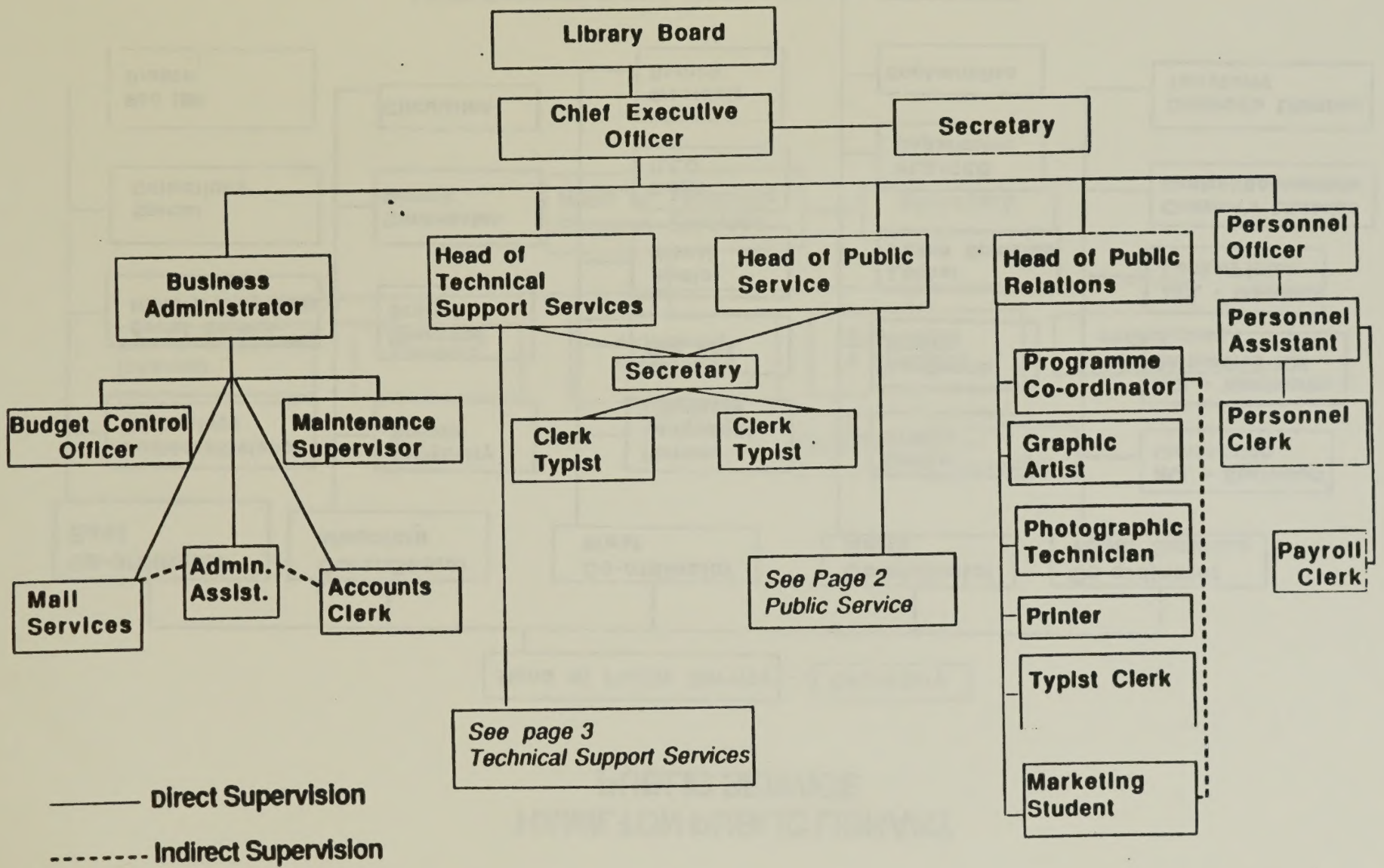
All of these will have to have the waiver concerning the collection of personal information added to them.

PERSONAL INFORMATION

There is personal information contained in many other files in the Hamilton Public Library that is not collected as a specific personal information bank. Correspondence has names in it, as do Minutes, Schedules, Evaluations, etc. They will fall under the protection of privacy aspect of the legislation.

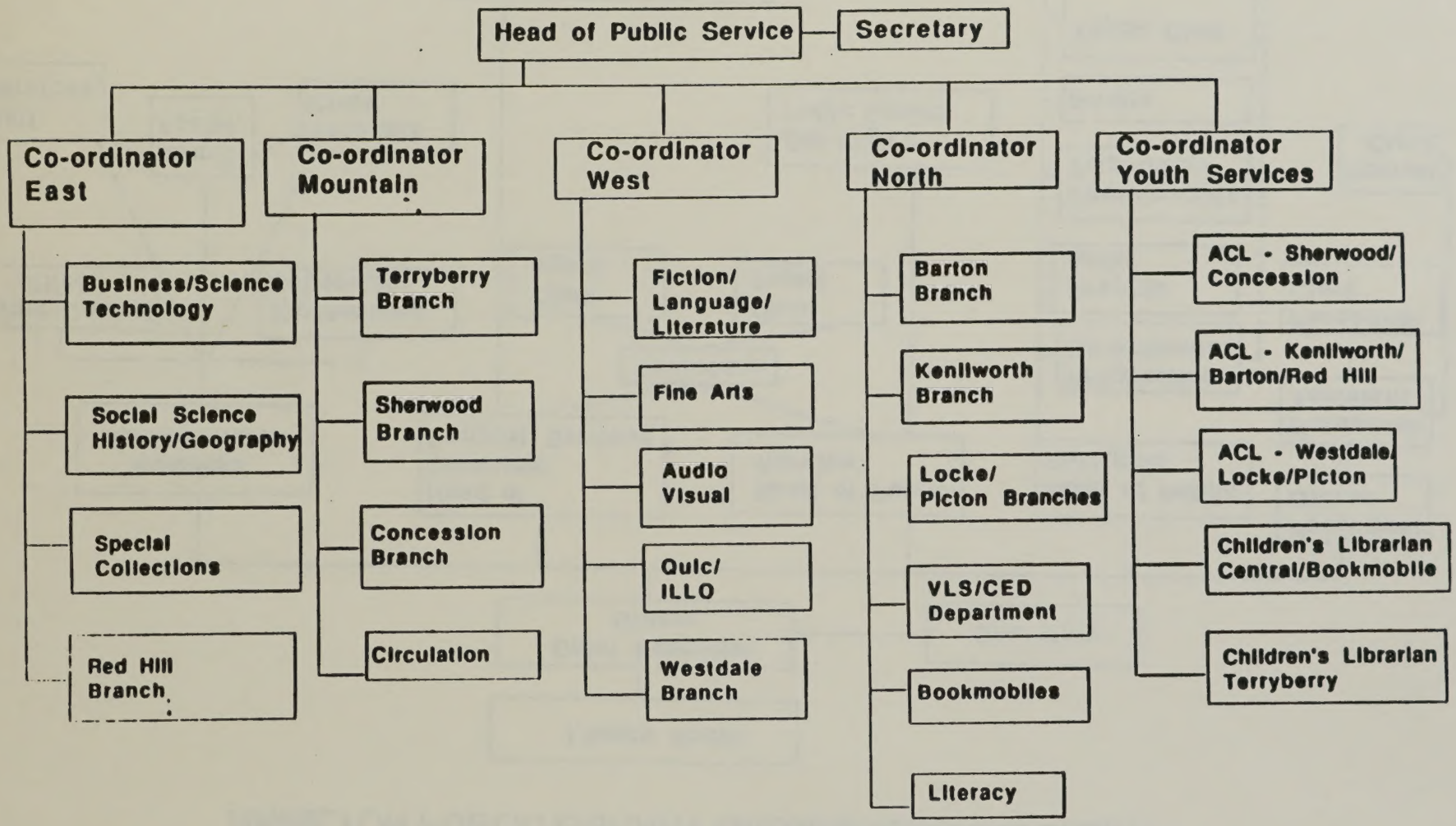
Personal information banks are marked with an asterisk (*) beside the Title of Document/Title.

HAMILTON PUBLIC LIBRARY ORGANIZATIONAL CHART

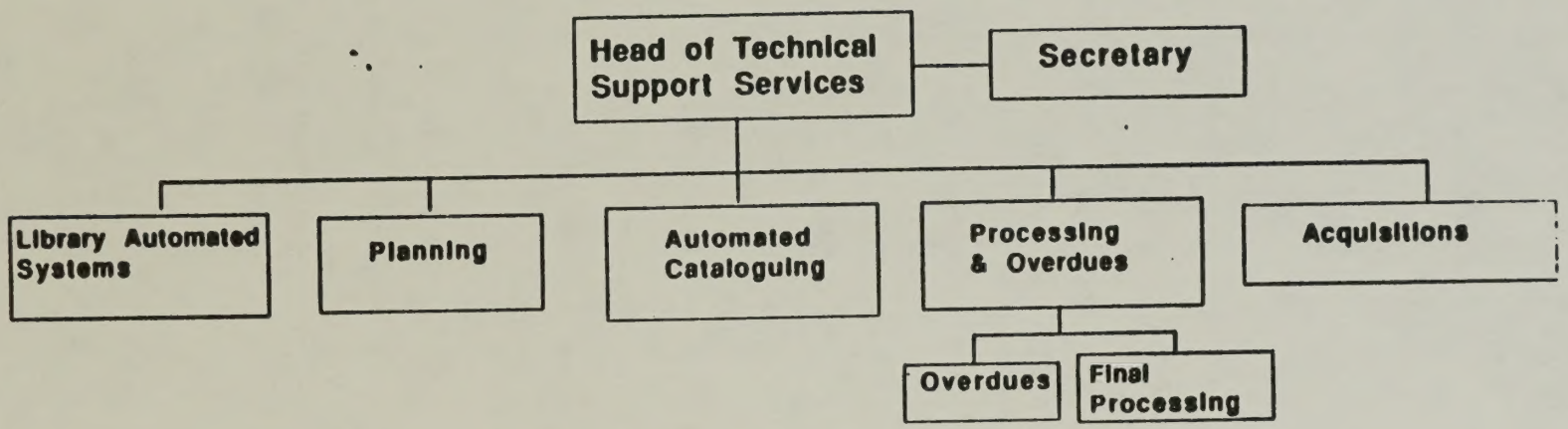


Prepared By: Personnel & Public Relations Department March 1989

HAMILTON PUBLIC LIBRARY
PUBLIC SERVICE



HAMILTON PUBLIC LIBRARY
TECHNICAL SUPPORT SERVICES



BRANCHES

BARTON	571 Barton Street E.	(416) 527-8122
CONCESSION	565 Concession Street	(416) 383-2322
KENILWORTH	103 Kenilworth Ave. N.	(416) 544-8705
LOCKE	285 Locke Street S.	(416) 522-7154
PICTON	502 James Street S	(416) 528-7453
RED HILL	695 Queenston Road	(416) 561-2835
SHERWOOD	1104 Fennell Ave. E.	(416) 389-8977
TERRYBERRY	100 Mohawk Road W.	(416) 388-7517
WESTDALE	955 King Street W.	(416) 528-1668

CENTRAL LIBRARY (416) 529-8111
55 York Boulevard ,Hamilton, Ont. L8N 4E4

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

CENTRAL LIBRARY (Public Service)

The Central Library is located in a major shopping and office complex in the downtown core.

Central users are people who live or work within the downtown core and people who require the special resources and services not offered by their local library.

The library provides service to a cross-section of the population which includes a significant number of people from diverse cultural and ethnic backgrounds.

The Central Library has two distinct functions. One is to act as a resource centre for the population of the Regional Municipality of Hamilton-Wentworth, the second is to act as a neighbourhood library for people living and working in the downtown core.

In its role as resource centre, the Central Library provides materials and services to help all age groups obtain information meeting their personal, educational, cultural and professional needs. Special emphasis is placed on providing a comprehensive reference service, collection support for all Hamilton Public Library branches, system-wide education and support for children's services, and specialized services for the general population or for specifically targeted groups. The Central Library also provides current information about community groups and activities.

In its role as a neighbourhood library, Central provides popular materials for all age groups in a variety of media and formats and encourages children to develop an interest in reading and learning.

To a lesser degree, the Central Library supplements formal educational resources and provides programmes of interest to the community.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

CENTRAL AUDIO VISUAL DEPARTMENT

The Audio Visual Department circulates to the people of Hamilton and OLS Escarpment, 16mm films and projectors. The Department also provides the residents of Hamilton and area with video cassettes, video discs and video disc equipment.

Large groups find 16mm films best suited to their needs, while video is basically a home use format.

The 16mm films and videos in the collection provide patrons with material that educates and entertains.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

CENTRAL CIRCULATION DEPARTMENT

The Central Circulation Department serves the population of the City of Hamilton and the Regional Municipality of Hamilton-Wentworth, providing prompt and efficient circulation control of the print and non-print materials and maintaining good quality service. Being the first and the last contact between the public and the library, the Department is very much aware and conscious of good public relations and the public image of the library.

The Circulation Department plays an active role in monitoring and improving circulation procedures and policies for the system.

The Circulation Department creates and updates the patron database by inputting registration data into DOBIS/LIBIS.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

CENTRAL CHILDREN'S DEPARTMENT

The Central Library Children's Department is a neighbourhood library for the downtown core and a resource centre for the City and its branch libraries. A wide range of materials and services are offered for pre-school and school age children up to the age of twelve (12) years to promote reading awareness, learning and the love of literature.

In addition to the collections of fiction, non-fiction and non-print materials, the Children's Department, in its role as an information resource centre, houses collections of materials for users with special interests and compiles special information files both for recreational use and as a supplement to formal education resources.

As part of the training of children's services staff, the Children's Department houses resource material for puppetry and storytelling and professional literature on all aspects of library service to children.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

CENTRAL INTERLIBRARY LOAN DEPARTMENT

The Hamilton Public Library is a participant in the Ontario Public Library Interloan Network (OPLIN). By utilizing OPLIN and other established ILL networks and procedures, the Interlibrary Loans Department fills the following three (3) major roles for three (3) distinct user groups.

1. The above networks are used to secure materials and information to fill the information, research and leisure reading needs of HPL patrons which cannot be met by the resources of the HPL system.

2. Hamilton Public Library is also a major lender to public libraries in Ontario and beyond, (and to a lesser extent academic and special libraries), searching HPL collections and processing book and photocopy requests for patrons of those libraries.

3. As a major resource library of the Southern Ontario Library Service, the Hamilton Public Library contracts with SOLS to provide the Regional Reference Service to the libraries of the former Escarpment Library Services area. This service is staffed and administered by the Interlibrary Loans Department.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

CENTRAL RESOURCE CENTRE FOR DISABLED PERSONS

The Resource Centre for Disabled Persons is the gateway to the wealth of materials and services offered by the Hamilton Public Library to the residents of the City[1] and Region. The Centre is committed to providing persons with disabilities, caregivers, professionals, students (secondary and post-secondary) and the general public with a selected collection of materials in various formats[2] to meet their informational, recreational and educational needs. The Disability Information Service Helpline,[3] a confidential phone service, provides information and referral services regarding disabilities and community resources, as well as informal counselling. Access to the Centre's collection is facilitated by the provision of extensive, personalized, reader's aid and reference assistance, bibliographic aids in alternative formats, accessible furniture and low technology reading aids and equipment.

The Centre serves:

Persons with disability related information needs by providing specialized information files, book and periodical collections;
Adults with low vision by providing materials in large print;
Adults unable to use print by providing talking books, flexible discs and playback equipment;
Homebound readers by providing Visiting Library Service to Hamilton residents homebound or institutionalized for 3 months or longer because of age, illness or disability;
Adults with physical disabilities by providing specialized equipment that facilitates access to Hamilton Public Library's collections;
Branch users by providing large print rotations and a talking book pre-selection programme and by recommending for purchase specific aids and furniture that facilitate access to the Library's collections;
Southern Ontario Library Service (SOLS) - Escarpment area talking book users by providing talking books on interloan.

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[1]Visiting Library Service limited to Hamilton residents.

[2]Includes a disability collection of information files, books and periodicals; folio/pictorial works; and system collections for talking books and large print.

[3]Service initiated in 1989 and co-sponsored by the Hamilton-Wentworth Community Information Service; funded by the Ministry of Community and Social Services and the Regional Municipality of Hamilton-Wentworth; assisted by a Community Advisory Committee.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

CENTRAL RESOURCE CENTRE FOR DISABLED PERSONS

LITERACY PROGRAMME

The Hamilton Public Library offers one-to-one volunteer-based literacy programmes using the eclectic approach to tutoring. These programmes, at various library branches, offer free lessons to adults who want to improve their reading, writing, spelling or math skills. First priority for enrolment is given to English-speaking persons, sixteen years of age or older, who are not enroled in any full-time academic course of study and who are not literate in another language. Circulating collections of basic reading materials and teaching aids are available for general use.

ROLE STATEMENT

CENTRAL QUICK INFORMATION CENTRE (QUIC DEPARTMENT)

The Quick Information Centre acts as the initial point of contact for users seeking information at the Central Library; filters information queries, answering those queries that are of a quick, factual nature, referring others to the appropriate library department or outside agency; interprets library services for the user; presents the user with an image of the Hamilton Public Library as a friendly and efficient business.

To support these roles, QUIC operates three distinct service points:

1. Switchboard

   All incoming calls to the Central Library come through the switchboard and are forwarded directly to a specific extension or a minimal reference interview is conducted to determine the appropriate destination for calls.[1]

2. First Floor Information Desk

   This is the initial point of contact for information for visitors to the Central Library. After a brief reference interview, users are oriented to the resources of the Central Library, advised of the location and status of specific titles or referred to a specific subject area.

   Queries requiring in depth subject expertise are referred to the information staff in the relevant departments. This service point also displays and maintains a broad collection of brochures and other material about the library and community events and services.[2]

3. QUIC Telephone Information Service

   A small, current collection of basic reference sources, including encyclopedias, dictionaries, handbooks, directories (business, telephone and city), etc., covering a broad range of subject areas is utilized to provide answers to telephone queries. In addition, a great deal of staff time and effort is devoted to compiling, indexing and maintaining a collection of files related to leisure activities, government services, etc.[3]

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[1]For a more detailed listing of the functions performed by QUIC, see HPL Policy and Procedures Manual, "Specific Services" (SS16.1-16.3).

[2]Ibid.

[3]Ibid.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

CENTRAL BUSINESS, SCIENCE, TECHNOLOGY DEPARTMENT
(including Government Documents and Career Resource Centre)

The department serves the informational, educational and recreational needs of the residents of the City of Hamilton and the Regional Municipality of Hamilton-Wentworth which consists of many cultural communities and varying socio-economic standards. It provides service to the academic community from Grade 8 to university level, special interest groups and the adult public.

The special collections in business, government and urban/municipal documents and career resource material, enhance, supplement and support the reference function of the department. City and telephone directories, company reports, vertical file material and periodical collection reinforce the reference collection for currency.

Government Documents

The Government Documents collection is a full depository for Canadian and Ontario Government publications and houses statutes, reports, periodicals and Statistics Canada publications. The collection provides access to government information to the business community, to students from high school to university level and to the general public.

Urban Municipal Department

This Department houses special collections of current documents relating to and about the City of Hamilton and the Regional Municipality of Hamilton-Wentworth. It provides access to interest groups and citizens about local and regional issues.

Career Resource Centre

This Department serves the City of Hamilton and the Regional Municipality of Hamilton-Wentworth by acquiring and making available resources to meet its career information, and related educational needs in both print and non-print formats. College calendars and resumé books are used by people who are planning for post-secondary education and future careers and job seekers in the market place.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

CENTRAL SOCIAL SCIENCES, HISTORY DEPARTMENT

The Social Sciences, History Department serves the informational and educational needs of residents of the City of Hamilton and the Regional Municipality of Hamilton-Wentworth which is composed of multi-cultured communities. The collection provides information to the general public, students from Grade eight through university level and vacationers and travellers.

In several areas such as computers, law, native and minority rights, women's issues, family violence and environmental concerns, currency of information is important because of new technology, increasing public participation and changing attitudes of society.

Special resources include newspapers, vertical file material and a map collection.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

CENTRAL SPECIAL COLLECTIONS DEPARTMENT

Special Collections is a repository for the collection, processing and accessing of information, in a wide variety of formats, relating to the historical development of the City of Hamilton and the Hamilton-Wentworth region.

Special Collections' resources are particularly directed to the information needs of researchers, genealogists, students (secondary and post-secondary) and interested individuals seeking materials relating to the history of Hamilton and the Hamilton-Wentworth region.

The Department also houses a major Canadiana book collection, and a representative rare book collection, for use by library patrons as reference materials, not for circulation. Canadian literature relating to the War of 1812 and Arctic explorations is emphasized.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

CENTRAL LANGUAGE/LITERATURE DEPARTMENT

The Language/Literature Department exists to service the recreational, informational and cultural needs of a large metropolitan city and region "for direct use by the public as well as supplementary resources for the library branches."[1]

The Department serves adults with current, high demand and high interest materials through hardcover, paperback and magazine collections with sufficient duplication to meet the market demand.

The Department serves its users pursuing independent study through the purchase of literary reference works as well as a generous sample of the world's literary heritage with special attention to contemporary and Canadian literature. Selective programming is done as appropriate.

The Department serves the general community by providing language study materials and facilities. It provides the multicultural communities' adult members with resources both in-house and through interloan in the heritage languages as well as English as a Second Language material.

The Department assists students in secondary schools and continuing education courses to meet their educational objectives by providing a collection which contains materials in both print and non-print appropriate to the above stated educational levels.

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[1] Material Selection Policy, as approved by the Hamilton Public Library Board, June 14, 1983.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

CENTRAL LANGUAGE/LITERATURE DEPARTMENT

YOUNG ADULT SERVICES

The Young Adult Fiction Collection on the fourth floor of the Central Library provides popular hardcovers, paperbacks and magazines suitable for teenagers age 12-18. In addition to supplying popular materials, the Young Adult Service at Central Library acts as a clearinghouse for bibliographies, programme information and other services relevant to teenagers for the City libraries and the public in Hamilton.

PRIME RESORT SERVICES

The Prime Resort is a collection of materials about libraries and library service which exists to serve the staff of the Hamilton Public Library and libraries of the former Escarpment Library Services area, students studying to become librarians or library technicians, members of the Library Profession, and the general public. This aim is accomplished by providing a comprehensive professional collection of current, timely and accurate information with collection development emphasis on applications to the public library.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

CENTRAL FINE ARTS/MUSIC/PERFORMING ARTS DEPARTMENT

The Fine Arts/Music/Performing Arts Department exists to serve the informational, cultural and recreational needs of a large metropolitan city and region, "for the direct use by the public as well as supplementary resources for the library branches."[1]

The Department serves adults and young adults with current, high demand and high interest materials both in print and audio, specifically books, cassettes/compact discs/records, magazines, sheet music and pictures/posters. Selective programming is initiated to supplement the collections.

In addition, the Department serves students of the arts and music by providing listening, practice and display facilities and resources to include contemporary and classical information aimed at meeting the students' education objectives whether they be in a formal or independent setting.

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[1] Materials Selection Policy, as approved by the Hamilton Public Library Board, June 14, 1983.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

BARTON BRANCH

Barton Branch, an inner-city, medium-sized library, bounded by industry, is committed to offering non-traditional service in response to the fluctuating needs of a transient, largely ethnic community. Service philosophy, collections and programmes are constantly monitored and amended as the community itself changes in terms of its ethnic, social and economic make-up.

Barton Library strives to be an inviting and demonstrably useful library to a community of practical-minded, varied and non-traditional library users. Information service is very intensive, particularly in the area of reader's aid and staff provide extra help to individuals to ensure that the information is useful to them. The use of materials within the library is very high.

The community need for specialized assistance is carried through to the materials selection. Attractive materials at varied reading levels are important to Barton. Print collections emphasize paperbacks (particularly genre fiction such as romance, westerns and mysteries); best-selling hardcovers; practical self-instruction materials in such areas as home repair, job search, car maintenance, life-skills; and recreational reading interests. Non-print collections, currently under development cover recreational interests, music, books on cassette, and literacy materials. Reference materials and school project materials beyond the elementary level are de-emphasized.

Programming, particularly in the area of children's services, literacy, and outreach, are highly productive and account for a great expenditure of staff effort. Children's programmes emphasize quality pre-school programmes and a variety of programmes for school-aged children designed to promote an interest in books and reading. One-to-one literacy tutoring is available for adults. The thrust of Barton's outreach allows for constant contact with the community via existing groups and organizations.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

BOOKMOBILE SERVICE

The Hamilton Public Library Bookmobile is a flexible library service that allows for response to changing population shifts and demographic trends in the community. Three population groups are targeted for service: children in day care, older adults in senior citizen apartment complexes, and neighbourhoods distant from branch libraries.

The Bookmobile provides access to the library's collections for those population groups who because of age, infirmity, or distance from a permanent library location, are unable to access other library resources.

The Bookmobile provides a continuous service to designated locations with the primary aim of getting as many library materials as possible out to potential users in a series of time limited stops.

All Bookmobile stops are located within the boundary of the City of Hamilton.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

CONCESSION BRANCH

Concession Branch is a neighbourhood library located in a stable residential and commercial area on the Mountain brow. The library serves primarily young families living in single family homes in the immediate area, senior citizens, many of whom live in apartments nearby, and the local business community.

Concession Branch is committed to experimentation, a visible, accessible, and popular collection, friendly and efficient service and community involvement.

Patrons use the Concession Branch because of its often unique, innovative popular collection of materials. The Library's main goal is to provide current, high-demand, high interest materials in a variety of formats for all age groups. Special emphasis is also placed on stimulating young children's interest in reading and learning through services to pre-schoolers and their parents.

The selection, packaging, display and arrangement of the library's collection are designed to maximize user satisfaction within a limited floor space. Because floor space is at a premium, Concession's community involvement has been channelled into a wide variety of Outreach activities like the Senior's Summer Outreach programme, Sharing Literature with children, and programmes in conjunction with our Business Improvement Association, i.e. the Summer Sidewalk sale.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

KENILWORTH BRANCH

The Kenilworth Branch is a medium-sized neighbourhood library which serves a predominately English speaking population in the east end of Hamilton. Approximately 30% of this population is functionally illiterate. The area consists mainly of single family dwellings and is experiencing a rejuvenation as a steady influx of young families move into the community.

Kenilworth's aim is to supply current, high demand, high interest materials in a variety of formats, print and non-print, for persons of all ages and abilities. Pre-school children are encouraged to develop an interest in reading through services for children, and for parents and children together. Kenilworth's collection and services support the formal education needs of elementary and junior high students, as well as the informal and independent learning needs of adults.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

LOCKE BRANCH

The Locke Branch is a small library serving a residential community which includes both families with young children and many senior citizens. Staff make a special effort to provide new and noteworthy materials and skilled reader's advisory service to the Branch's loyal and well-read borrowers.

Special emphasis is placed on providing materials and services for pre-schoolers and their parents.

Locke's senior citizens make use of the large print collection, books on tape, and the special assistance provided by staff.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

SHERWOOD BRANCH

Sherwood Branch, the second busiest branch library in the HPL system, serves a large, rapidly expanding population on Hamilton's east mountain.

In terms of circulation and information per staff member, Sherwood is a highly productive location which concentrates on making the most effective use of staff and resources to serve the largest number of people possible.

Of all library locations, including Central, Sherwood's clientele contains the highest proportion of adults. The library is heavily used by families on evenings and weekends. Significantly high figures for patron contact per square foot and circulation per square foot demonstrate the concentrated use made of Sherwood's facilities.

Sherwood specializes in carefully selected popular collections of demonstrated high interest to its clientele. These are: paperbacks, records and cassettes, books with a recent publication date, and non-fiction in the areas of self help, leisure interests, personal enrichment and self education. Materials which are of interest to high numbers of users are purchased in quantity. Special emphasis is placed on the paperback collection which is the largest branch collection in the City and provides 1/3 of Sherwood's total circulation. The most popular collections are prominently displayed, to encourage browsing and self service.

Sherwood also specializes in quality services for pre-schoolers and school age children.

Being responsive to user interest and to finite resources of staff and space, has meant de-emphasizing the following: reference services, in-house use by students, school project materials, specialized information, research collections and labour-intensive programming.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

TERRYBERRY BRANCH

The Terryberry Branch features current, high demand and high interest materials in a variety of formats for persons of all ages. The library actively provides timely, accurate, and useful information for community residents, and acts as a collection and information resource for the whole mountain community and the other two mountain branches. The library encourages young children to develop an interest in reading through children's programmes. It also supports individuals pursuing learning independent of any education provider, and provides high demand, high interest programming. It is also a focal point for community meetings.

HAMILTON PUBLIC LIBRARY

ROLE STATEMENT

WESTDALE BRANCH

Westdale is a very stable, residential community adjacent to McMaster University. As the older original homeowners move to apartments and senior's residences, young families and students are moving into the area. While there is little room for development or expansion in the area itself, the Westdale Branch does attract people from the near-by communities of Dundas and Ancaster.

The Westdale library features current, high-demand, high-interest print materials for persons of all ages. While the library tries to meet the demand for the new popular titles, there are usually long waiting lists because of budget restrictions. In addition, the collection has to provide for the wide range of reading interests to be found in a community so close to a university. A well rounded collection of new and older titles is essential.

The library encourages young children to develop an interest in reading and learning through services for children and for parents and children together. It provides timely, accurate and useful information for local businesses and community residents. A sizeable deposit collection of large print books is provided as a significant percentage of the population is over sixty-five.

In an ongoing situation, space, staff and time dictate that we concentrate on the services we do best, which is to provide recreational and informational reading materials.

Freedom of Information and Protection of Individual Privacy

Regulations and Guidelines for Municipalities and Local Boards

Ontario

Regulations and Guidelines for Municipalities and Local Boards

Management Board Secretariat
Freedom of Information and Privacy Branch
18th Floor, 56 Wellesley Street West
Toronto, Ontario.
M7A 1Z6

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INTRODUCTION

Section 47 of the **Municipal Freedom of Information and Protection of Privacy Act** provides a power to make regulations regarding a number of matters. Pursuant to section 47, Ontario Regulation 517/90 (O.Reg 517/90) was issued in September 1990.

O.Reg 517/90 deals with the following matters:

- machine readable records;
- access to original records;
- security and confidentiality of records and personal information;
- where notice of collection of personal information is not required;
- minimum retention period for personal information;
- fees;
- security and confidentiality of personal information used for a research purpose; and
- prescribed forms.

Part I of this booklet sets out the text of the Regulation. Part II provides explanatory guidelines on each of the major subject areas of the Regulation. In each chapter of Part II, the text of the Regulation on a particular subject is offered in bold type, followed by explanatory text.

In addition to the Regulation and guidelines, this booklet provides in Part III instructions for tracking and recording requests under the Act. Part IV provides samples of forms referred to elsewhere in the text.

This booklet is not intended to provide a detailed discussion of the legislation, and should be used in conjunction with the **Handbook for Municipalities and Local Boards** which has been provided to all municipalities and local boards covered by the legislation.

Regulations and Guidelines for Municipalities and Local Boards is published by the Management Board Secretariat. Further information on the legislation may be obtained by contacting:

Management Board Secretariat
Freedom of Information and Privacy Branch
18th Floor
56 Wellesley Street West
Toronto, Ontario
M7A 1Z6
Telephone: (416) 327-2187 Fax: (416) 327-2190

PART I

ONTARIO REGULATION 517/90

ONTARIO REGULATION 517/90

1. A record capable of being produced from machine readable records is not included in the definition of "record" for the purposes of the Act if the process of producing it would unreasonably interfere with the operations of an institution.

2.- (1) A head who provides access to an original record must ensure the security of the record.

(2) A head may require that a person who is granted access to an original record examine it at premises operated by the institution.

(3) A head shall verify the identity of a person seeking access to his or her own personal information before giving the person access to it.

3.- (1) Every head shall ensure that reasonable measures to prevent unauthorized access to the records in his or her institution are defined, documented and put in place, taking into account the nature of the records to be protected.

(2) Every head shall ensure that only those individuals who need a record for the performance of their duties shall have access to it.

(3) Every head shall ensure that reasonable measures to protect the records in his or her institution from inadvertent destruction or damage are defined, documented and put in place, taking into account the nature of the records to be protected.

4.- (1) An institution is not required to give notice of the collection of personal information to an individual to whom it relates if the head complies with subsection (2) and if,

(a) providing notice would frustrate the purpose of the collection;

(b) providing notice might result in an unjustifiable invasion of another individual's privacy; or

(c) the collection is for the purpose of determining suitability or eligibility for an award or honour.

(2) For the purpose of subsection (1), the head shall make available for public inspection a statement describing the purpose of the collection of personal information and the reason that notice has not been given.

5. Personal information that has been used by an institution shall be retained by the institution for the shorter of one year after use or the period set out in a by-law or resolution made by the institution or made by another institution affecting the institution, unless the

individual to whom the information relates consents to its earlier disposal.

6. The following are the fees that shall be charged for the purposes of subsection 45(1) of the Act:

    1. For photocopies and computer printouts, 20 cents per page.

    2. For floppy disks, $10 for each disk.

    3. For manually searching for a record after two hours have been spent searching, $7.50 for each fifteen minutes spent by any person.

    4. For preparing a record for disclosure, including severing a part of the record, $7.50 for each fifteen minutes spent by any person.

    5. For developing a computer program or other method of producing a record from a machine readable record, $15 for each fifteen minutes spent by any person.

    6. For any costs, including computer costs, incurred by the institution in locating, retrieving, processing and copying the record if those costs are specified in an invoice received by the institution.

7.- (1) If a head gives a person an estimate of an amount payable under the Act and that estimate is $25 or more, the head may require the person to pay a deposit equal to 50 per cent of the estimate before completing the request.

    (2) A head shall refund any amount paid under subsection (1) that is subsequently waived.

8. The following are prescribed as matters for a head to consider in deciding whether to waive all or part of a payment required to be made under the Act:

    1. Whether the person requesting access to the record is given access to it.

    2. If the amount of a payment would be $5 or less, whether the amount of the payment is too small to justify requiring payment.

9. If a person is required to pay a fee for access to a record, the head may require the person to do so before giving the person access to the record.

10.-(1) The following are the terms and conditions relating to security and confidentiality that a person is required to agree to before a head may disclose personal information to that person for a research purpose:

    1. The person shall use the information only for a research purpose set out in the agreement or for which the person has written authorization from the institution.

2. The person shall name in the agreement any other persons who will be given access to personal information in a form in which the individual to whom it relates can be identified.

3. Before disclosing personal information to other persons under paragraph 2, the person shall enter into an agreement with those persons to ensure that they will not disclose it to any other person.

4. The person shall keep the information in a physically secure location to which access is given only to the person and to the persons given access under paragraph 2.

5. The person shall destroy all individual identifiers in the information by the date specified in the agreement.

6. The person shall not contact any individual to whom personal information relates, directly or indirectly, without the prior written authority of the institution.

7. The person shall ensure that no personal information will be used or disclosed in a form in which the individual to whom it relates can be identified without the written authority of the institution.

8. The person shall notify the institution in writing immediately if the person becomes aware that any of the conditions set out in this section have been breached.

(2) An agreement relating to the security and confidentiality of personal information to be disclosed for a research purpose shall be in Form 1. [The Research Agreement form is shown in Part IV]

11. A request for access to a record under Part I of the Act or for access to or correction of personal information under Part II of the Act shall be in Form 2 or in any other written form that specifies that it is a request made under the Act. [The Access/Correction Request form is shown in Part IV.]

12. This Regulation comes into force on the 1st day of January, 1991.

PART II

GUIDELINES

MACHINE READABLE RECORDS

Introduction

The definition of a "record" in section 2 of the Act includes records that are, subject to the regulations, capable of being produced from a machine readable record by means of computer hardware or software or any other information storage equipment and technical expertise normally used by the institution. Apart from this provision, there is no general requirement in the Act to create a record in response to a request.

O. Reg. 517/90 further defines what is meant by machine readable records.

Regulation and guidelines

1. A record capable of being produced from machine readable records is not included in the definition of "record" for the purposes of the Act if the process of producing it would unreasonably interfere with the operations of an institution.

Under the legislation, the "record" which an institution may release includes the creation of a "new" record compiled from existing computer information. For example, an institution may generate a report in a certain format from data in a computer file. Under the legislation a requester may ask for a different kind of report using the same computer data sorted or presented differently. Subject to certain fees (which are discussed on pages 23 to 26) and applicable exemptions, the record would normally be provided to the requester.

O. Reg. 517/90, however, also provides that where the creation of such a record would unreasonably interfere with the operations of the institution, it need not be created in response to a request. Unreasonable interference with operations could include instances where normal business activities would have to stop or change in order to produce the record. It may also include instances where the cost of producing the record would result in the inability of an institution to meet its other obligations.

Any determination as to what would "unreasonably interfere with the operations of an institution" would be made by the head of the institution and would depend on the facts of the particular case. A requester who is denied access to a record on this basis could appeal the decision to the Office of the Information and Privacy Commissioner.

ACCESS TO ORIGINALS

Introduction

Section 23 of the Act provides that where access is granted to a record, the requester would usually be given a copy. Sometimes, however, a requester may wish to view the original document. In such cases, section 23(2) provides that a person may, upon request, examine an original record if it is reasonably practicable to give the requester that opportunity.

Sections 2(1) and 2(2) of O.Reg 517/90 establish certain conditions governing access to original records. Section 2(3) establishes the requirement to verify the identity of the requester when granting access to an individuals's own personal information. **The Handbook for Municipalities and Local Boards** provides factors to consider in determining whether it is reasonably practicable to grant access to the original record.

Regulation and guidelines

2.-(1) A head who provides access to an original record must ensure the security of the record.

Once the institution has determined that it is reasonably practicable to grant access to an original record, it must then take reasonable steps to ensure that the record is not defaced, changed, destroyed or stolen as a result of granting access. An institution may wish, for example, to have an employee present when access to the record is provided to the requester. In general, the nature of the security measures taken should be determined by the nature of the original record requested.

If the security of the original record cannot be ensured, it would not be reasonably practicable under section 23(2) of the Act to grant access to the original record. In such a circumstance, a copy of the record would be provided to the requester.

2.-(2) A head may require that a person who is granted access to an original record examine it at premises operated by the institution.

When access to an original record is to be granted, the head has the discretion to require that the requester examine the record at the institution's premises. When an institution has more than one premises (for example, branch offices or satellite locations), the head also has the discretion to determine at which of the institution's sites access will be granted.

Factors to consider in exercising this discretion include:

- whether security of the record can be maintained while transporting the record or at a site other than where the record is located;

- whether access at another site would result in undue inconvenience or expense, or would compromise the operation of the institution;

- whether the record is in active use and needed on-site;

- whether there are legal requirements for maintaining the record on-site; and

- the volume, size or fragility of the records.

In exercising this discretion, the head must assess the particular facts of each case before a decision is made.

2.-(3) A head shall verify the identity of a person seeking access to his or her own personal information before giving the person access to it.

While the Act provides individuals with a general right of access to their own personal information, it also seeks to protect the privacy of individuals by ensuring that access to personal information is not given to unauthorized persons.

Where an individual wants access to his or her personal information, an institution should take steps to verify the identity of the individual before giving access. This can be done by various means. For example, the institution can compare identifying information on the written request with information in the institution's possession. The requester's handwriting, signature, address and telephone number as well as the spelling of names, can be compared with information the institution may have on file. An institution can also question the requester about unique information that might be contained in the record.

If the requester wishes to examine the personal information in person, proper identification (such as a driver's licence) should be examined before access to the file is granted. Since not everyone has a driver's licence, however, the institution should be prepared to accept other appropriate documentation.

If the requester wishes to have a copy of the personal information mailed to him or her, the institution should verify the requester's identity by telephone before forwarding the requested records. Since some individuals may have problems with physical access, requiring personal attendance to view personal information should not be the standard method of verifying identity.

SECURITY AND CONFIDENTIALITY

Introduction

Section 47(c) of the Act provides a power to make a regulation "...setting standards for and requiring administrative, technical and physical safeguards to ensure the security and confidentiality of records and personal information under the control of institutions."

O. Reg. 517/90 requires measures to prevent unauthorized access to an institution's records and to protect against inadvertent destruction of records. The Regulation and guidelines are intended to apply to access and security considerations in the day-to-day administration of an institution's records, rather than access to records in response to requests under the Act.

The guidelines offer advice, suggestions, and examples of good practices for consideration by the institution when designing security and confidentiality measures. In implementing the Regulation, each institution should take steps that are appropriate to its own circumstances and organization.

Regulation and guidelines

3.-(1) Every head shall ensure that reasonable measures to prevent unauthorized access to the records in his or her institution are defined, documented and put in place, taking into account the nature of the records to be protected.

Accountability

An important first step in establishing reasonable measures is to assign responsibility and accountability for safeguarding the security of the institution's records. This assignment of responsibility and accountability will vary, depending upon the size and complexity of the institution. Usually, the manager with direct operational responsibility for a program would be assigned responsibility for safeguarding the records generated by that program. In larger organizations, a corporate security function may also exist which would coordinate security matters throughout the organization and provide technical support to individual managers. Smaller organizations with few staff may wish to assign responsibility for record security to the chief executive officer.

However an institution assigns responsibility, this assignment should be documented, and appropriate training and awareness should be provided to affected staff.

Individuals who use records in the performance of their duties for the institution should also be made accountable for safeguarding the security and confidentiality of the records they use. The responsibility of the user of a record is distinct from that of the manager who has been assigned responsibility for safeguarding the record's security. A manager must ensure that his or her records are identified, their security requirements defined, and appropriate measures documented, put in place and

regularly reviewed. The individual user of a record must ensure that the record is safeguarded from unauthorized access while he or she is using it.

The head must ensure that staff are aware of their responsibilities regarding the security of the records which they use. Though approaches will vary, institutions could consider steps such as articles on privacy and security in staff newsletters, or including a privacy component in staff training programs. Managers should also instruct their staff on security measures and on individual staff member's responsibilities.

Determining security requirements

Before measures to protect records from unauthorized access can be established, the institution should determine the degree to which access to an institution's records should be controlled. Although it may be necessary to determine appropriate levels of access to individual documents or files, usually this determination would be on the basis of record series, that is, logical groupings of records which can be considered as functional units. When considering access controls for record series, the level of security should be appropriate for the most sensitive information in the series.

In determining the need for access controls, the institution should consider access both by the public (persons outside the institution) and by staff employed by the institution.

In developing measures to prevent unauthorized access to its records, an institution can draw upon a number of resources to help identify its records holdings: file plans, retention schedules, and record and personal information bank descriptions. Where these sources are not complete the institution may wish to undertake a records inventory prior to considering security measures. It is important to bear in mind that records can exist in multiple copies (and in different media) throughout the organization, and that every record has a life cycle from the time it is created to the time it is disposed of. Measures to protect against unauthorized access should address all copies of the record, and every stage in its life cycle.

The head should take into account all relevant factors in determining whether access to records should be controlled, and the scope and extent of those controls. Some factors are:

- whether or not exemptions are likely to apply to the records;
- the nature of the exemptions (mandatory or discretionary) which may apply;
- the circumstances under which the records were supplied to or created by the institution;
- possible harms which may result from unauthorized access (whether or not these harms are specified in an exemption);
- the need to protect the record from tampering; and

- the need to protect unique or original records.

In general, records to which exemptions may apply are more likely to require security measures than records to which no exemptions apply. Further, records to which mandatory exemptions may apply (and in particular, records containing the kind of personal information listed in section 14(3)of the Act), should be afforded a high degree of protection from unauthorized access.

Security Measures

Having determined which records or record series require access controls, the head should identify security measures appropriate to the nature of the record (for example, the record's medium and storage, processing, communications, and retrieval systems) and to the level of security required. In identifying security measures, the head should balance the cost and complexity of such measures against the possible harms resulting from unauthorized access. The nature and complexity of these measures will vary depending upon the circumstances of each institution.

For paper records, a variety of measures to prevent unauthorized access may be considered. These can include:

- clean desk policies, where desks are locked when unattended;

- locking filing cabinets, which are locked when unattended, and where key distribution is limited and documented;

- central file stations, with log-in and log-out procedures for files, accompanied by restrictions on the making of copies;

- locked file rooms with access controlled by file room staff;

- coded file labels, labels using numeric or alpha-numeric codes rather than descriptive texts;

- inclusion of security provisions in contracts with outside suppliers of records storage and disposal services;

- record distribution/circulation policies which limit the production and circulation of records to staff on a need-to-know basis; and

- policies and procedures for using facsimile machines, including policies on types of information which should not be faxed, staff access to and physical placement of the fax machine. Checking procedures such as ensuring that the document is being sent to the correct number prior to sending documents should also be developed. The Office of the Information and Privacy Commissioner has prepared guidelines on the use of facsimile machines which can be consulted.

For information stored on computer, the following may be considered in addition to physical safeguards similar to those described above (for example secure storage of and physical access to disks and tapes, secure processing facilities, etc.):

- positioning terminals in such a manner that passers-by cannot read information displayed on screen;

- password protection for data files, with policies in place governing the assignment, use and deletion of user identifications and passwords;

- encryption of transmitted data;

- tracking systems which monitor the use of data, and which identify system users; and

- inclusion of security provisions in contracts with outside suppliers of information technology services.

Documentation

An important component in a security program is documentation. The nature of this documentation will vary among institutions, but it should at least include an identification of the institution's records, the specific security measures adopted for each record series, and the person responsible for ensuring that these security measures are operational.

Security measures should be reviewed regularly to ensure that the security requirements of the institution's records are being met.

3.-(2) Every head shall ensure that only those individuals who need a record for the performance of their duties shall have access to it.

Where a record held by an institution may be subject to an exemption, internal access to that record (that is, access by staff or others performing duties for the institution) is on a "need-to-know" basis. In most cases, the institution would determine which groups of staff need to have access to a particular class or series of records in the performance of duties, and take steps to ensure that access is limited to those groups.

3.-(3) Every head shall ensure that reasonable measures to protect the records in his or her institution from inadvertent destruction or damage are defined, documented and put in place, taking into account the nature of the records to be protected.

If records are inadvertently destroyed before their proper disposal date, as specified on a retention schedule, requesters are deprived of their right of access under the Act to those records. The head must take all reasonable steps to protect the institution's records from such inadvertent destruction.

In determining what are reasonable steps, the head should consider all relevant factors, including:

- the media of the record. Protective measures appropriate for paper records, for instance, may not be appropriate for other media;
- whether copies of the record exist;
- whether the original copy of the record is inherently valuable (such as archival records or signature documents);
- how vital the record is to the functions of the institution;
- the cost of replacing or recreating the record; and
- the cost of available protective measures.

Although measures to protect records from inadvertent destruction will vary among institutions, some common steps which might be considered include:

- making regular back-up copies (disks, photocopies, microfilm), with a copy stored at a site separate from the original or working copy;
- using fire-resistant file cabinets;
- locating record storage/computer operations away from areas where fire or water damage is more likely to occur (for instance away from exposed pipes);
- raising records and records-processing equipment off the floor to prevent flood damage;
- installing smoke detectors and fire-extinguishing equipment. It should be noted, however, that some automatic fire extinguishing systems (such as water sprinklers) may themselves pose a hazard to records and computers; and
- ensuring that storage facilities and maintenance regimes are appropriate to the record's media. Magnetic media, for instance, are especially vulnerable to inadvertent destruction or damage through improper storage. Similarly, because magnetic media is often tied to a particular operating system and set of hardware, data stored on that media may not be usable if the operating system or hardware is no longer available.

As with other measures, steps to ensure against inadvertent destruction should be documented by the institution.

WAIVER OF NOTICE OF COLLECTION OF PERSONAL INFORMATION

Introduction

Section 29(2) of the Act requires that a head provide an individual with notice whenever an institution collects personal information directly or indirectly about the individual.

Section 29(3), however, states that such notice is not required if:

- the type of information being collected would be exempt from access under section 8(1) or 8(2) (law enforcement);
- the Minister waives the notice requirement; or
- a regulation provides that notice is not required.

O. Reg. 517/90 sets out the circumstances where notice of collection is not required, as provided for in section 29(3)(c). The Regulation also establishes the requirement that, where an institution determines that a notice of collection is not required, the institution must make a public statement describing the circumstances under which the notice is being dispensed with.

Regulation and guidelines

4.-(1) An institution is not required to give notice of the collection of personal information to an individual to whom it relates if the head complies with subsection (2) and if,

(a) providing notice would frustrate the purpose of the collection;

In some cases, providing notice to the individual when personal information is collected may undermine the purpose for which the personal information is collected. For example, an institution might collect personal information to determine the whereabouts of someone who is indebted to the institution and who has absconded to avoid paying the debt. In such circumstances, providing notice would frustrate the purpose of collecting the personal information, since notifying the debtor could result in the debtor taking further steps to avoid payment.

(b) providing notice might result in an unjustifiable invasion of another individual's privacy;

Under the Act a notice of collection of personal information must describe how the information will be used. When the use touches upon sensitive personal matters involving another person, the notice may reveal personal information about another individual.

For example, an individual who applies for social assistance benefits from a municipality may be required to furnish the names and routine

biographical details of the applicant's dependents or co-habitors. Providing notice to the dependents or co-habitor that personal information about them has been collected for the purpose of assessing the applicant's application would reveal sensitive personal information, namely that the individual has applied for assistance. In such circumstances, the municipality might decide that the privacy interests of the applicant should prevail over the provision of notice to the persons referred to in the application.

(c) the collection is for the purpose of determining suitability or eligibility for an award or honour.

An institution may collect the names and biographical details of persons to be considered for an award or honour. Where personal information about a candidate is collected for this purpose, a notice of collection of personal information is not required.

4.-(2) For the purpose of subsection (1), the head shall make available for public inspection a statement describing the purpose of the collection of personal information and the reason that notice has not been given.

The statement describing the circumstances under which notice has been waived should:

- identify the program or activity for which the personal information is collected;
- describe in general terms the type of personal information collected, and how the information will be used;
- state the time period during which the notice would not be given, for example, whether the notice is being dispensed with for a one-time only collection or for collections occurring regularly over an indefinite time period;
- explain under which of the circumstances provided for by O. Reg. 517/90 the notice has been dispensed with; and
- advise that any concerns regarding the dispensing of notice may be brought to the attention of the Information and Privacy Commissioner.

The public statement should not disclose any personal information about an identifiable individual.

An example of a public statement dispensing with notice would read :

WHERE NOTICE OF COLLECTION OF PERSONAL INFORMATION IS NOT REQUIRED

Personal information of third parties collected on social assistance applications

Names and addresses of next-of-kin, dependents and co-habitors of a social assistance applicant are usually collected from the applicant as part of the application process. Pursuant to Ontario Regulation 517/90 of the Municipal Freedom of Information and Protection of Privacy Act, notice of the collection of personal information of the next-of-kin, dependents and co-habitors will not be provided to those individuals to protect the privacy of the applicant. Concerns about this practice may be directed to the Information and Privacy Commissioner at [address and telephone number].

This public statement should be made available for public inspection along with the listing of records and descriptions of personal information banks as required by sections 25 and 34 of the Act.

MINIMUM RETENTION PERIOD OF PERSONAL INFORMATION

Introduction

Under section 30(1) of the Act an institution must retain personal information that has been used by the institution for the period "prescribed by regulation." The purpose of a minimum retention period is to ensure that the individual to whom the personal information relates has a reasonable opportunity to obtain access to his or her personal information.

Regulation and guidelines

5. Personal information that has been used by an institution shall be retained by the institution for the shorter of one year after use or the period set out in a by-law or resolution made by the institution or made by another institution affecting the institution, unless the individual to whom the information relates consents to its earlier disposal.

The Regulation prescribes that personal information must be kept for a minimum of one year after the information has been used. The one year minimum retention period, however, can be shortened in two circumstances. First, where the individual to whom the information relates consents to an earlier disposal, the records need not be kept for one year. As well, where an institution by by-law or resolution stipulates a shorter retention period for the personal information, then the shorter period becomes the minimum retention period. Under section 116 of the Municipal Act, a municipality may by by-law establish retention schedules for itself and for local boards (except school boards) in respect of receipts, vouchers, instruments, rolls or other documents, records and papers. Under section 150(1)36 of the Education Act, school boards may establish retention schedules for board and school records.

It is important to keep in mind that the Regulation stipulates only a minimum retention period. Any decision about a maximum retention period will depend on an institution's records keeping practices as well as operational and legal considerations.

FEES

Introduction

Section 47(f) of the Act provides a power to make regulations to "prescribe the payment and allocation of fees". The Act states that a person who makes a request for access to a record shall pay:

- a search charge for every hour of manual search required in excess of two hours to locate a record;
- the costs of preparing the record for disclosure;
- computer and other costs incurred in locating, retrieving, processing and copying a record; and
- shipping costs.

Under section 45(2) of the Act, an institution shall not require an individual to pay a fee for access to his or her own personal information. In this context "access" includes providing copies of the records to the person to whom the information relates.

The fee provisions in the Regulation are to be considered as the maximum allowable costs that can be charged under the Act.

A request under the Act is not required for information that has been published or is currently available to the public. Therefore, institutions that normally charge a fee for information that is available to the public (such as maps) can continue to charge the established fee.

Regulation and guidelines

6. The following are the fees that shall be charged for the purposes of subsection 45(1) of the Act:

1. For photocopies and computer printouts, 20 cents per page.

The 20 cents per page includes the cost of staff time to feed documents into a photocopy machine.

2. For floppy disks, $10 for each disk.

3. For manually searching for a record after two hours have been spent searching, $7.50 for each fifteen minutes spent by any person.

As required by the Act, the first two hours of search time for records is free. Search time includes (but is not limited to) personnel time involved in searching for the records, and examining file indices, file plans or listings of records, either on paper or in a computer. If more

than one person is conducting the search, each person's time can be charged.

4. For preparing a record for disclosure, including severing a part of the record, $7.50 for each fifteen minutes spent by any person.

Preparing a record includes collecting photocopies and other tasks required to get the record ready for disclosure. Severing a record includes physical handling, for instance, putting removable type over exempt portions of the record before it is photocopied.

An institution cannot charge for personnel time involved in reviewing records to determine if an exemption applies.

5. For developing a computer program or other method of producing a record from machine readable record, $15 for each fifteen minutes spent by any person.

In some instances producing a record from a machine readable record will require the manipulation of information stored in a computer data base. In these circumstances it may be necessary to write a computer program so that the particular information requested can be retrieved. If this is the case an institution can charge for these costs.

Section 1 of the Regulation, discussed on page 11, also deals with machine readable records.

6. For any costs, including computer costs, incurred by the institution in locating, retrieving, processing and copying the record if those costs are specified in an invoice received by the institution.

In some instances an institution will require the assistance of outside resources to process requests for records. For example, a request might be for a copy of a record in a format other than a photocopy, computer printout or a computer disc. If an institution does not have the capabilities to do specialized copies (such as microfilm or fiche) the institution can send the material to outside facilities for copying. In such cases the invoiced costs for the work can be passed on to requesters.

As noted on pages 16 and 17, contracts with outside suppliers of copying services should include terms relating to the security of records.

7.-(1) If a head gives a person an estimate of an amount payable under the Act and that estimate is $25 or more, the head may require the person to pay a deposit equal to 50 per cent of the estimate before completing the request.

7.-(2) A head shall refund any amount paid under subsection (1) that is subsequently waived.

Under section 45(3) of the Act, if costs are to exceed $25 an estimate of the fee must be provided to the requester. A fee estimate should be a reasonable estimate of the costs that will be incurred in processing a request. It should contain as much information as possible so that the requester will be able to make an informed decision as to whether to continue with the request.

If the costs are to exceed $25 an institution is permitted to ask for a deposit equal to 50% of the amount of the estimate. For example, if the estimated costs for processing a request are $40, a deposit of $20 may be required (50% of the estimate). If, after processing, it is determined that the actual fee is $45, the requester would be billed the $25 balance of the fee.

If the fee is waived, the head must refund the amount that was paid as a deposit. For example, if the head waived the $45 charge, the $20 deposit would be returned.

8. The following are prescribed as matters for a head to consider in deciding whether to waive all or part of a payment required to be made under the Act:

1. Whether the person requesting access to the record is given access to it.

Section 45(4) of the Act states that a head shall waive a fee "if it is fair and equitable to do so" after considering certain factors. In addition to the factors listed in section 45(4)(a) through (c), O. Reg. 517/90 provides additional factors to consider in determining if a waiver of fees is fair and equitable. One such factor is whether the person requesting access to the record is given access to it.

There may be instances where a request for access to a record has been unsuccessful because a record does not exist, the institution was unable to locate it, or the requested information is fully exempt from disclosure. In addition, for certain records (e.g., law enforcement), the head can refuse to confirm or deny the existence of an exempted record. In most cases, a head would determine that it is fair and equitable to waive a fee if access to a requested record was not granted. There may be instances, however, where the head would not consider it to be fair or equitable to waive a fee, despite the fact that the requester did not receive access to the record, and would, therefore, charge the fee.

2. If the amount of a payment would be $5 or less, whether the amount of the payment is too small to justify requiring payment.

In certain circumstances, it will not be practicable to charge nominal amounts. If the amount of the fee is $5 or less, the head can consider waiving the fee.

9. If a person is required to pay a fee for access to a record, the head may require the person to do so before giving the person access to the record.

A head is not required to release records to a requester until the fee has been paid, or the issue of fees has been resolved after an appeal to the Office of the Information and Privacy Commissioner.

RESEARCH AGREEMENTS

Introduction

Section 14(1)(e)(iii) of the Act permits a head to disclose personal information for a research purpose if the person who is to receive the personal information has agreed to comply with conditions relating to security and confidentiality prescribed by regulation.

Section 14(1)(e) governs disclosures to researchers receiving grants, consultants conducting research under contract to the institution or others, and independent researchers. Access to personal information by researchers who are employees of an institution is covered by sections 31 and 32(d) of the Act, not section 14(1)(e).

A "research purpose" does not include administrative or operational uses of personal information. Unlike these uses, a use of personal information for a research purpose does not directly affect the individual to whom the information relates, nor does the research use relate to the usual administration of a program.

If the disclosure is for a research purpose, an institution may disclose personal information in response to a request under the Act, when the following conditions are met:

- the disclosure must be consistent with the conditions and reasonable expectations of disclosure under which the personal information was provided, collected or obtained. If the information was provided with an express undertaking of confidentiality, access should not be granted without consent of the individual;

- the research purpose for which the disclosure is to be made cannot reasonably be achieved unless the information is provided in a form which allows individuals to be identified; and

- the researcher has agreed to comply with conditions relating to security and confidentiality prescribed by regulation.

O. Reg. 517/90 prescribes a form to be used when an institution enters into a research agreement with a researcher. The form, shown in Part IV, constitutes the agreement between the institution and the researcher in which the researcher undertakes to protect the security and confidentiality of the personal information that is disclosed. The conditions of this agreement are set out below.

Regulation and Guidelines

10.-(1) The following are the terms and conditions relating to security and confidentiality that a person is required to agree to before a head may disclose personal information to that person for a research purpose:

1. The person shall use the information only for a research purpose set out in the agreement or for which the person has written authorization from the institution.

The researcher should describe the purpose of the research, possibly by identifying the product (ie. report, thesis, etc.) which he or she intends to produce. Where available, a copy of the research proposal may be attached to the research agreement form.

2. The person shall name in the agreement any other persons who will be given access to personal information in a form in which the individual to whom it relates can be identified.

The researcher must identify, by name, all persons who will likely be granted access to the personal information. These might include other researchers and staff who are working with the researcher.

3. Before disclosing personal information to other persons under paragraph 2, the person shall enter into an agreement with those persons to ensure that they will not disclose it to any other person.

4. The person shall keep the information in a physically secure location to which access is given only to the person and the persons given access under paragraph 2.

5. The person shall destroy all individual identifiers in the information by the date specified in the agreement.

The researcher must, as of a stated date, undertake to anonymize any copies of the records, or notes associated with the records in the researcher's possession.

6. The person shall not contact any individual to whom personal information relates, directly or indirectly, without the prior written authority of the institution.

The researcher must agree that no contact with any individual identified in the records will be made, unless specific authorization for such contact is given by the institution providing access.

7. The person shall ensure that no personal information will be used or disclosed in a form in which the individual to whom it relates can be identified without the written authority of the institution.

The researcher must agree not to disclose or use any personally identifiable information after access has been given. For example, this would prohibit the researcher from disclosing in the research product any information in personally identifiable form which was obtained from the records, or from using such personal information in subsequent research, unless authorized to do so by the institution. This would not prevent the subsequent use or disclosure of anonymized information.

8. The person shall notify the institution in writing immediately if the person becomes aware that any of the conditions set out in this section have been breached.

The agreement should be signed by the researcher and the head of the institution (or the head's delegate). The institution should retain the original copy of the agreement and provide the researcher with a copy. The institution and the researcher may agree to additional conditions relating to research disclosures if they wish. However, the minimum terms of agreement established by the Regulation must be adhered to.

A sample of the research agreement form is shown in Part IV. Institutions may also wish to load the text of the terms of the agreement into a word processing system so that research agreements of varying length can be accommodated.

REQUEST FORM

Introduction

A request under the Act must be in writing and must provide sufficient detail to enable an experienced employee of the institution, upon reasonable effort, to identify the records that are requested. Individuals who are seeking access to their own personal information should, if possible, identify the personal information bank or the location of the personal information that has been requested.

Although requests under the Act must be in writing, an institution can provide access to records in response to an oral inquiry or in the absence of a request where access can be given under the provisions of the Act [section 50(1)].

O. Reg. 517/90 sets out a form to be used in making access or correction requests. This form is shown in Part IV, and can be photocopied by institutions and made available to the public. It should be noted, however, that a request need not be on this form, but can also be in the form of a letter provided that the letter specifically cites the Act.

To assist requesters to formulate requests their attention can be drawn to the general records listings and descriptions of personal information banks maintained by the institution. In addition, if a requester does not know where to make a request, he or she can refer to the Directory of Institutions. Each institution will be provided with a copy of the Directory. As well, a copy will be available in public libraries.

Regulation and guidelines

Some of the main fields of the Access/Correction Request form prescribed by O. Reg 517/90 and shown in Part IV, are discussed below.

Type of Request

The requester should mark the appropriate box indicating what type of request is being made.

Name of Institution Request is Made To

The requester should identify the institution he or she believes has the record(s).

Name Appearing on Personal Information to be Accessed or Corrected

If the personal information that is requested or is to be corrected is under a name that is different than that of the requester (such as a maiden name) that name should be provided.

Detailed Description of Records or Personal Information

The requester should describe the record or personal information in as much detail as possible. For example, the requester could indicate the subject matter of the record, specific events, dates or locations that may be relevant.

If the request is for personal information, the requester should describe in detail the personal information, the personal information bank or record containing the information. Any other information, such as other addresses of the requester or the program or service provided by the institution, should be provided.

If a requester wants a correction of personal information he or she should indicate the desired correction and attach any supporting documentation that is relevant.

Preferred Method of Access

A requester should indicate whether he or she wishes to examine the record(s) that were requested or if a copy of the requested information is desired. As provided in section 23 of the Act, it might not always be possible to provide the preferred method of access.

Date Received

Institutions should record the date that the request was first received by the institution. The last day for responding to a request will depend on whether or not the request must be clarified, a time extension is sought or representations are required from affected parties.

Request Number

Each request should be assigned a separate number for administrative and tracking purposes. For example, the first request for 1991 could be 91-01, the second request 91-02 and so on.

PART III

TRACKING REQUESTS UNDER THE ACT

TRACKING AND RECORDING FORM AND INSTRUCTIONS

Introduction

To assist coordinators to track requests under the Act and to prepare the Commissioner's annual report as required under section 26, a tracking and recording form is provided in Part IV. Although the form is optional, coordinators who are not using a computerized tracking system may find it useful.

Brief descriptions on how request data should be recorded are provided below. It should be noted that this section functions solely as a guide to filling out the form which tracks the processing of requests for information. It should not be used as information on how to interpret data. For detailed information and advice on how the legislation's request-processing provisions should be applied, coordinators should refer to the **Handbook for Municipalities and Local Boards**.

Guidelines

The following are instructions for each of the fields on the Tracking and Recording form shown in Part IV.

Request Number

Assign a separate number to each request. This number will appear on all correspondence to the requester. It is important to determine whether a request on a form or in a letter constitutes a single request or more than one request. The following guidelines should be used to determine how the request should be treated:

- has the requester specified that he/she wants the items specified on the form to be treated as separate requests?
- is the request for different types of records, e.g., one for general records and another for personal information?
- are some of the requested records in the custody or under the control of another institution?
- have the requests been received on separate forms or letters?

Category A: Request Description

1. Request type: There are three types of requests. Check one only.
2. a) Indicate who is making the request.

   b) In most cases, the requester will be asking for information on his/her own behalf. However, there are situations where the

requester is an authorized representative acting on behalf of another person. Indicate on whose behalf the request is being made.

3. Check the source of the request, if known.

4. Give a brief description of the record being requested.

Category B: Days/dates

1. Record the date on which the request was first received by the institution.

2. Date in Category B(1) plus 30 days.

3. A request may not sufficiently describe the record sought and may, therefore, require further detail before it is considered a "complete request". Enter the date on which clarification was received. This date will be identical to B(1) where the initial request is complete.

4. Date in Category B(3) plus 30 days.

5. Section 20 of the Act sets out certain allowable reasons for extending the due date of a request. In these circumstances, state the number of days the request is being extended and check off the reason for the extension. Both reasons may apply. Section 20 of the Act should be consulted before such extensions are made.

6. To calculate this date, add the number of days in Category B(5) to the date in Category B(4).

7. Record the date on which the requester was notified of the time extension.

8. This section relates to the impact of fee estimates on time calculations. Before calculating such impacts refer to section H of the form. The new due date results from the delay incurred waiting for a fee response from the requester. The number of days from the date of the notice to the time a response is received from the requester is added to the previous due date in Category B(4). If an extension is sought, the number of days extended (see Category B(5)) should be added to the date calculated above to arrive at the new due date.

9. This is the date on which the requester was notified of the institution's decision on the requested record.

10. Indicate the date on which the record was released to the requester. This may be the same date as in B(9) if the record was sent to the requester along with the notice of the institution's decision.

11. Calculate the number of days between dates in Category B(10) and Category B(3).

12. Enter the name of the institution from which the request is being transferred. Also, record the date on which your institution received the request that has been transferred from the other institution.

13. Record both the date and the name of the institution to which you have forwarded a part or a whole request.

Category C: Internal Tracking

1. Record the locations within your institution involved in processing the request.

2. Record the date on which the request should be returned to the coordinator.

Category D: Third Party Notification

1. Indicate whether the third party notice is being sent in response to a section 10 or a section 14 requirement.

2. List the names of the third parties to be contacted. If more space is needed, please attach extra sheets.

3. Record the date on which the third party was notified.

4. Date in Category D(3) plus twenty days.

5. Date in Category D(4) plus ten days.

6. Date the third party was notified of the institution's decision.

7. Last day the requester or third party has to appeal the head's decision. Thirty days from date in D(6).

Category E: Response to Request

In this category, record the final outcome/decision on the request; check the appropriate boxes.

Category F: Exemptions

Check all exemptions claimed in processing this request. Note: Only one check mark is required for multiple uses of an exemption. When using section 38(a), check the appropriate exemptions (sections 6 to 15, 53) relied on.

Category G: Access

1. Indicate the method by which the requester was given access to the record.

2. Give a brief description of the accessed record.

Category H: Deposit and Fee Information

The Act allows for the charging of fees for the processing of requests. Refer to O. Reg. 517/90 on fees for the appropriate amounts. Where fees are involved, the requester is usually provided with an estimate during the initial search time.

1. Enter the date and amount of the fee estimate forwarded to the requester.

2. When a fee estimate in excess of $25.00 is provided to the requester, the institution may require the requester to pay a deposit equal to 50% of the estimate. In this box enter the date when the requester was notified that a deposit was required, and the estimated amount.

3. Enter the date when the institution received acceptance of the fee estimate, and the required deposit from the requester.

4. If the requester has applied for, and received, a fee waiver, enter the date, as well as the amount of the fees waived by the institution.

5. There are a number of reasons why a fee can be refunded, for instance an over-estimate of fees, or a fee waiver after a deposit is made. In such circumstances enter the date and the amount of the refund.

6. Enter the date and amount of the actual fee, i.e., the amount calculated after the request is processed and the actual processing times are known.

7. Enter the date and the final amount of money received by the institution.

Category I: Estimated and Actual Fees

Refer to O. Reg. 517/90 on fees. Note: the estimated fees are usually assessed during the initial search time. The estimate is meant to provide the requester with a guide to the approximate cost of processing the request. The actual fee is the fee calculated at the end of the process and represents the actual cost of processing the request.

Category J: Appeals

Check the appropriate section(s) on which the appeal was initiated.

Category K: Personal Information Banks

Identify the total number of personal information banks accessed in processing this request.

Category L: Comments

Record any additional information you would like to note in relation to this request.

Tracking and Recording (Municipal)
Freedom of Information and Protection of Privacy

Please refer to Guidelines for detailed instructions.

Category A: Request Description

1 Request Type (Check one only)
1a ☐ General Record 1b ☐ Personal Information 1c ☐ Correction to Personal Information

2a ☐ Name of Requester
2b ☐ Authorized Representative of

3 Source of Request
3a ☐ Media 3b ☐ Researcher 3c ☐ Business 3d ☐ Association 3e ☐ Individual 3f ☐ Unknown 3g ☐ Other

4. Subject matter of request

Category B: Dates/Days

1. Date initial request received	2. Response due date	3. Date complete request received	4. Adjusted due date
5. Days extended Reasons ☐ Volume ☐ Consult ☐ Both	6. Extended due date	7. Extension notification date	8. Adjusted due date (fee est.)
9. Date notified of decision	10. Date records released/file closed	11. No. of days to complete request	
12 Transferred in from Date ☐ Whole ☐ Part	13. Forwarded to Date ☐ Whole ☐ Part		

Category C: Internal Tracking

1. Internally forwarded to | 2. Date to be returned by

Category D: Third Party Notification 1. ☐ S.10 ☐ S.14

2 Name	3 Notified of interest	4 Response due	5 Access decision due	6 Notified of decision	7 Final appeal date
	Date ▶				

Category E: Response to Request

1 ☐ All disclosed
2 ☐ Disclosed in part
2a ☐ Partly exempted
2b ☐ Partly non-existent
3 ☐ Nothing disclosed (totally exempt)
4 ☐ Refuse to confirm/deny
5 ☐ No record exists
6 ☐ Request abandoned
7 ☐ Withdrawn
8 ☐ Correction made 8a ☐ Whole 8b ☐ Part
9 ☐ Correction refused
10 ☐ Statement of disagreement filed
11 ☐ Correction request withdrawn/abandoned
12 ☐ Notice of correction

Category F: Exemptions

Exemptions invoked

☐ S.6 ☐ S.7 ☐ S.8 ☐ S.9 ☐ S.10 ☐ S.11 ☐ S.12 ☐ S.13 ☐ S.14 ☐ S.15 ☐ S.38 b-e ☐ S.53

Category G: Access

1 Method of access
1a ☐ Examination
1b ☐ Copy
1c ☐ Both

2 Records accessed

Category H: Deposit and Fee Information

	Date	Amount $
1. Notified of estimate		
2 Deposit requested		
3 Estimate acceptance/ deposit received		
4 Fee waived 4a In whole		
4b In part		
5 Refund		
6 Fee requested		
7. Fee received		

Category I: Estimated and Actual Fee

1. Activity	2. Estimated Fee	3 Actual Fee
1a Search (in excess of 2 hours)		
1b Reproduction		
1c Preparation of record		
1d Shipping		
1e Computer (programmer's time)		
1f Other		
4. Total Fee ▶		
5. Less deposit received		
6. Less amount waived		
7. Balance refunded or owing ▶		

Category J: Appeals

1. Type of appeal

Whole	Part		Whole	Part	
☐	☐	S.8(3), S.14(5) Refuse to confirm/deny	☐	☐	S.36(2) Correction refused
☐	☐	S.17(1) Access to general records refused	☐	☐	S.37(1) Access to personal information refused
☐	☐	S.20(2) Time extension	☐	☐	S.37(3) Access method-personal information
☐	☐	S.21(2) Third party information to be released	☐	☐	S.45(5) Fee/Fee estimate
☐	☐	S.23 Access method-general records	☐	☐	Other

2. Result
☐ Mediated
☐ Allowed
☐ Partially allowed
☐ Denied

3 Date notified of appeal

4. Date notified of 4a ☐ Order 4b ☐ Settlement

Category K: Personal Information Banks

Total Number of Personal Information Banks accessed

Category L: Comments

1277

Note: Please attach additional pages where more space is required.

Research Agreement

Freedom of Information and Protection of Privacy

This agreement is made between

Name of Researcher (hereinafter referred to as the researcher) and	Name of Institution (hereinafter referred to as the institution)
The researcher has requested access to the following records containing personal information in the custody or control of the institution	

The researcher understands and promises to abide by the following terms and conditions:

1. The researcher will not use the information in the records for any purpose other than the following research purpose unless the researcher has the institution's written authorization to do so: (Describe research purpose below)

2. The researcher will give access to personal information in a form in which the individual to whom it relates can be identified only to the following persons: (Name persons below)

3. Before disclosing personal information to persons mentioned above, the researcher will enter into an agreement with those persons to ensure that they will not disclose it to any other person.

4. The researcher will keep the information in a physically secure location to which access is given only to the researcher and the persons mentioned above.

5. The researcher will destroy all individual identifiers in the information by _____ (Date)

6. The researcher will not contact any individual to whom personal information relates, directly or indirectly, without the prior written authority of the institution.

7. The researcher will ensure that no personal information will be used or disclosed in a form in which the individual to whom it relates can be identified without the written authority of the institution.

8. The researcher will notify the institution in writing immediately upon becoming aware that any of the conditions set out in this agreement have been breached.

Signed at , this day of 19

Signature of Researcher		Signature of Official	
Name of Researcher		Name and Position of Official	
Address		Name of Institution	
		Address	
	Telephone No.		Telephone No

1278

Access/Correction Request
Freedom of Information and Protection of Privacy

Request for:

- ☐ Access to General Records
- ☐ Access to Own Personal Information
- ☐ Correction of Own Personal Information

Name of institution request made to:

If request is for access to, or correction of, own personal information records.

Last name appearing on records: ☐ same as below or ▶

Details

Last Name	First Name	Middle Name	☐ Mr ☐ Mrs ☐ Ms ☐ Miss

Address (Street/Apt. No./P.O. Box No./R.R. No.) | City or Town | Province

Postal Code	Telephone Number(s)	Area Code		Area Code	
	Day ▶			Evening ▶	

Detailed description of requested records, personal information records or personal information to be corrected. (If you are requesting access to, or correction of, your personal information, please identify the personal information bank or record containing the personal information, if known)

Note: If you are requesting a correction of personal information, please indicate the desired correction and, if appropriate, attach any supporting documentation. You will be notified if the correction is not made and you may require that a statement of disagreement be attached to your personal information.

Preferred method of access to records	Signature	Date
☐ Examine Original ☐ Receive Copy		Day Month Year

For Institution Use Only

Date received	Request Number	Comments
Day Month Year		

Personal information contained on this form is collected pursuant to Freedom of Information and Protection of Privacy legislation and will be used for the purpose of responding to your request. Questions about this collection should be directed to the Freedom of Information and Privacy Coordinator at the institution where the request is made.

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